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ABSTRACT

A fundamental purpose of the NCHEMS Information Exchange Procedures (IEP) is to assist postsecondary education institutions in establishing a basic set of historical data useful for campus decision-making. This purpose is pursued through IEP in two ways: (1) by helping the institution create its own internally useful data, and (2) by fostering the creation and exchange of comparable data among similar institutions. This document describes briefly the Information Exchange Procedures and many issues related to IEP, and provides a guide to planning and organizing an IEP implementation effort. It includes also a discussion of the supporting computer software, the exchange formats with their related definitions, a glossary of terms to aid in understanding the terminology used, and outlines the uses for which NCHEMS staff feel IEP is most appropriate. (Author)

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INTRODUCTION TO INFORMATION EXCHANGE PROCEDURES: A GUIDE FOR THE PROJECT MANAGER

A GUIDE FOR THE PROJECT MANAGER

TECHNICAL REPORT 76

National Center for Higher Education Management Systems at WICHE

U.S. DEPARTMENT OF HEALTH, EDUCATION & WELFARE
NATIONAL INSTITUTE OF EDUCATION

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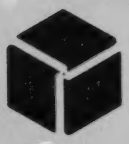

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- facilitate exchange of comparable data among institutions.
- facilitate reporting of comparable information at the state and national levels.

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March 1976

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ACKNOWLEDGMENTS

The Information Exchange Procedures initially were developed by the NCHEMS staff with guidance from a task force and steering committee, composed of institutional and state agency representatives. The initial procedures, related to isolation of component costs of an institution's operation, were tested in 1972-73 in about 20 community colleges, 20 private colleges, and 20 state colleges and universities. The results of this test were used to refine the IEP costing procedures. The full set of exchange procedures was tested again in 1973-74 in about the same number of institutions. The insights gained from this pilot test served to further refine and improve the IEP definitions and procedures. The Information Exchange Procedures described in this manual have been reviewed and approved by the IEP advisory groups and the NCHEMS Board of Directors.

This document represents the collective efforts of numerous campuses and individuals. It incorporates the experiences of NCHEMS staff and the campuses who have been involved in the installation and use of the IEP. This document is a response to the suggestions that an introductory manual be provided to briefly describe IEP, its purpose, and use.

Within NCHEMS, many individuals have contributed to the document by sharing their implementation experiences and providing reviews of drafts of the manual. Among these individuals are: John F. Chaney, Bill Collard, Michael Haight, Dick Johnson, Ron Martin, Bob Schultze, and James Topping. Special thanks are reserved for Mrs. Barbara Hardesty who typed and coordinated the production of many drafts of this document.

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INTRODUCTION

A fundamental purpose of the NCHEMS Information Exchange Procedures (IEP) is to assist postsecondary education institutions in establishing a basic set of historical data useful for campus decision making. This purpose is pursued through IEP in two ways: (1) by helping the institution create its own internally useful data and (2) by fostering the creation and exchange of comparable data among similar institutions.

Faced with a large amount of technical material describing the many details of the Information Exchange Procedures, a campus administrator frequently cannot determine where to begin reading if he wishes to learn about IEP. This document is intended to help the administrator by describing briefly the Information Exchange Procedures and many issues related to IEP, and by providing a guide to planning and organizing an IEP implementation effort. It includes also a discussion of the supporting computer software, the exchange formats with their related definitions, and a glossary of terms to aid in understanding the terminology used.

To make effective use of the resulting information, it is important that the project manager and the users of the Information Exchange Procedures understand the details and assumptions that are part of IEP. This document outlines the uses for which NCHEMS staff feel IEP is most appropriate.

A DESCRIPTION OF IEP

The Information Exchange Procedures (IEP) are a standard set of data definitions and procedures for collecting data that may be used by postsecondary education institutions to produce compatible information useful both for comparisons of internal activities and for voluntary exchange with other campuses for comparison purposes.

The set of information produced through use of IEP provides campus administrators with a historical description of:

- *Instructional Outcomes*—data related to the vocational or educational plans (average starting salary, field of work, field of study, and so forth) of students completing a campus program, as well as students' perceptions of the institution's contribution to their development in such areas as knowledge and skills and social and cultural appreciation.
- *Institutional Costs*—data that describe the total annual expenses for campus activities, as well as average discipline and program costs in instructional areas.
- *Other Institutional Characteristics*—data that generally describe the campus (students, faculty, facilities, finance, and so forth) and that provide a valuable aid in the interpretation and analysis of cost and outcomes data.

An institution may use IEP to compile information about the institution's costs, outcomes, and descriptive characteristics. The definitions and procedures used in IEP are standard in order to provide exchange compatibility. The information that results from IEP provides a useful basis for comparisons of past campus costs, outcomes, and general characteristics. This historical information can aid the institution in formulating alternative plans, allocating resources, evaluating campus programs, and other management tasks.

The Information Exchange Procedures were developed by the NCHEMS staff with guidance from a task force and a steering committee composed of institutional and state agency representatives. The initial procedures, related to isolation of component costs of an institution's operation, were tested in 1972-73 in about 20 community colleges, 20 private colleges, and 20 state colleges and universities. The results of this test were used to refine the IEP costing procedures. The full set of exchange procedures was tested in 1973-74 in about the same number of institutions. The insights gained from this pilot test served to further refine and improve the IEP definitions and procedures.

IEP GOALS, OBJECTIVES, AND ISSUES

The Information Exchange Procedures have the same general goal as other NCHEMS projects and products: the improvement of planning and management in postsecondary education. For IEP this goal takes the form of a single, overriding objective:

> To support institutional identification, acquisition, and use of information necessary to carry out institutional comparative analysis, particularly in the area of resource allocation.*

In addition, experience during the development, pilot test, and implementation stages of IEP indicates that it can be used also:

- To improve the quality and quantity of data that an institution can bring to bear on internal planning and management problems; and
- To assist an institution in the preparation and presentation of data to agencies and individuals external to the campus.

The underlying purpose of generating this information remains essentially to support comparative analysis and thereby enhance institutional ability to identify alternatives in the allocation of resources and related management functions. The interest in or need for this capability varies from one institution to another and should be the basis for a decision to implement IEP.

The described objective and uses of IEP reflect a set of assumptions and concepts that are basic to IEP. IEP assumes, as does much of the Center's work, that the availability of *better* information will lead to improvements in institutional planning and management. Simply providing *more* information to decision makers does not imply that improved decisions will result. When such information is helpful in identifying or selecting from alternatives, it becomes *better* information.

Thus, IEP assumes that comparative analysis—knowing where an institution or program stands relative to others—provides a useful basis for the formulation of alternatives in some planning and management decisions. Further, IEP assumes that a selected set of historical data is a useful starting point for purposes of comparative analysis related to resource allocation and use. It assumes also that sufficiently compatible data can be achieved across institutions by establishing a fixed structure and data definitions, while recommending a set of procedures for collecting data.

Until recently, IEP also assumed that the *same* set of historical measures could be used to portray any educational institution. This is no longer the case—this assumption may not be valid in connection with complex research universities. Furthermore, it is expected that further experience with IEP will identify other groups of educational institutions for which some modification or "tailoring" of the current IEP will be appropriate. This need may arise from the nature of the institutions in the group (for example, small private colleges may have some unique data needs) or the problems facing those institutions (for example, program evaluation as opposed to resource allocation). Identifying such groups of institutions and supporting their comparative analysis needs is a key part of the long-run implementation strategy for IEP and its variants.

The assumption that institutions can implement IEP with relative ease and minimal cost does not stand up in the face of recent implementation experience. Since there is a wide range in the capability of institutions' accounting systems to support IEP, there is also a wide range in the cost of implementation. Some institutions may consider the costs too great to justify strict adherence to IEP procedures during the first implementation cycle. If the schools find the data useful, many of them will change their operational data systems (over time) to accommodate better the procedures in the future. These facts imply that significant amounts of implementation assistance continue to be necessary to support IEP.

Another significant conceptual issue associated with IEP is its relationship to other NCHEMS projects

*Resource allocation refers to the identification of alternatives and selection of the most feasible for distributing resources (personnel, monies, facilities, and so forth) among the institution's competing programmatic activities.

and products. By virtue of its attempt to describe the full range of institutional characteristics and activities, IEP draws upon a wide array of the Center's products. However, the incorporation of all or part of a particular NCHEMS product into IEP does not imply that the product in question cannot be used independently or as part of some non-IEP system. Thus, the Faculty Activity Analysis (FAA) instrument has utility in its own right, although it is a component of the IEP procedures. Similarly, the IEP Student Outcomes Survey is one of the many such surveys that can be developed from the *Outcome Measures and Procedures Manual (OMPM).* The same is true of the Program Classification Structure (PCS), the Instructional Work Load Matrix (IWLM), and the costing procedures. IEP is just one way to package certain NCHEMS products. Other such packages or systems assembled to serve other problems or purposes will undoubtedly look quite different.

As previously noted, the principal objective of IEP is to support comparative analysis of institutions and programs and thus to produce insights useful in institutional planning and management, particularly with respect to issues of resource allocation. When IEP data are used to support this kind of analysis, several key issues must be noted. These include the types of analysis that are possible, the compatibility of the data produced across different institutions, and the comparability of the institutions or other entities that are being analyzed.

Comparative Analysis

There are basically two types of comparative analysis: longitudinal and cross-sectional. Longitudinal analysis requires the generation of a certain set of data about the same institution over a series of points in time. Thus an institution that has several years of IEP data about itself would have a basis for longitudinal analysis. Cross-sectional analysis involves the collection of the same body of data about each one of a group of disciplines, programs, or institutions for the same time period. Cross-sectional analysis may, for example, focus on the comparison of different disciplines at a single campus or across a range of similar campuses. Regardless of the type of analysis employed, it is necessary to define the subject institution(s)/programs to be compared, and the purpose of the analysis. IEP defines a particular set of institutional programmatic information for analysis, and is designed with a focus on the question of institutional resource allocation.

Data Compatibility

Comparative analysis requires attention not only to the purposes and appropriateness of the comparisons being made, but also to the degree of consistency present in the definitions and procedures used to produce the data, or the *compatibility* of the data. In the ideal case, comparative analysis would rest upon strict adherence to IEP definitions, procedures, and conventions. This would mean that the analyst could presume that the data in question represented every institution in the same way, whether across points in time or across the members of a group. However, institutional realities are such that totally compatible data are rarely available. In fact, one might argue that as long as any judgment is involved in the data collection process, the production of totally compatible data is literally impossible. Since IEP requires that a number of procedural judgments be made, total compatibility is necessarily compromised. Certain interpretations must then be made when using IEP data. In short, the compatibility of various data sets may well be improved as a result of repeated collection and use, but perfect compatibility will remain a problem.

In practice, it is felt that sufficient compatibility is obtained by establishing a fixed structure and data definitions while recommending a set of flexible procedures for collecting data. At the very least, this approach makes the identification of deviations a more straightforward task. Analytic judgments concerning compatibility can take the form of assessing the extent to which the structure, definitions, and procedures used in producing a particular data set departed from the "target" or ideal defined in IEP.

IEP implementation field experience has made it possible for NCHEMS staff to identify several reasons why schools vary from the procedures, thus affecting compatibility. These reasons are listed below with the intent of aiding implementers and users to recognize potential problem areas. The extent to which these and other deviations from IEP definitions and procedures are significant must eventually be related to the purpose of the institution in using the resulting data. Typical reasons that cause schools to deviate from the procedures include:

(1) An institution's operational data systems cannot easily provide the required data and the manual data collection effort to "correct" the data is too large to justify;

(2) Occasionally, variations are necessary to increase the validity of resource use patterns for the school;

(3) The procedures conflict with internal planning and management data needs; and,

(4) Institutions are participating in IEP as part of a statewide or regional effort and elect to change the definitions to improve compatibility within the state or region.

Comparability

One other issue that must be addressed when conducting comparative analyses that use IEP data is the degree of similarity between the characteristics of the institutions, the participants, or programs that are being compared. This issue is complicated by the fact that there is frequently similarity with respect to certain characteristics and not with respect to others. For example, a chemistry degree program in a research university may exhibit many similarities, from an outcomes point of view, to a chemistry degree program found in a four-year state college. Graduates from each program may compete for the same jobs or positions in graduate school and they will have developed similar competencies in their program area. In addition, they may have been exposed to quite similar social, cultural, and other noninstructional experiences. From this perspective, the two degree programs in chemistry are quite comparable. However, when the different delivery mechanisms (such as class sizes, faculty workload, and so forth) and other operating characteristics of the two campuses are considered, one may conclude that there is considerable dissimilarity between the two campuses and consequently between the two programs.

Comparability is a relative concept that considers the extent to which two units being analyzed are similar or dissimilar. Comparability, then, is contingent on the kind of question being asked and the type of comparative analysis being performed. It is likely that comparisons of programs with similar outcomes on dissimilar campuses would be appropriate for the purpose of understanding the significance of differences between the twc.

NCHEMS is in the process of developing products specifically tailored to conducting comparative analysis of IEP data from institutions. The products will deal not only with the question of assessing comparability between institutions and programs but also with the presentation of specific techniques that support analysis, particularly those related to resource allocation.

Institutional Data Use

Although IEP data are intended as a support for inter-institutional comparative analysis, there are several significant potential benefits that can accrue to an institution that goes no further than collecting and using IEP data about itself. One key aspect of the use of IEP as an internal planning and management support is the "process" effect that accompanies its implementation. Because IEP attempts to profile the entire institution, it typically brings together a wide range of diverse campus personnel to accomplish the common task. The interaction that occurs can be as valuable to the institution as any specific data or insights that result from the implementation of IEP.

The other major use of IEP from an internal point of view is the enhancement of the institution's understanding of its operations and activities. NCHEMS has developed a procedures document that is intended to support this kind of understanding and use of data collected through IEP. *IEP Analysis and Use: Single-Institution Data* (Byers and Bower, 1975) is designed for use by institutions that have collected all or part of an IEP data set. It does not depend on the exchange of information or on the comparative analysis of IEP data across institutions. The procedures are designed to illuminate institutional processes and to address planning and management concerns through use of the institution's own IEP data. The document does not rely solely on the specific measures that constitute the end point of IEP, and it suggests uses for various related or intermediate data that are generated, especially the student credit hour contribution and consumption information contained in the instructional workload matrix.

The procedures and guidelines given in the manual follow two somewhat different but very related approaches to institutional use of data. One approach begins with the existence of a particular data set and addresses the question: What are the best ways of presenting all or parts of the IEP data set so that it can serve some intermediate purposes for the institutional user and perhaps stimulate the discovery of additional applications or questions?

The second approach to use of IEP data starts with a question or set of questions of concern to the institution and asks: What may be learned about the answers to these questions on the basis of the IEP data set for the institution? By their nature, these procedures are somewhat more prescriptive than the earlier examples, but they too are meant to be illustrative of uses of IEP data rather than

exhaustive of all its problem-solving applications. Procedures, for example, are focused on answering the questions of why student program and departmental differences exist in cost and in outcomes. The general approach is to examine descriptive summaries of the data across departments and student programs, provide methods for isolating significant differences, and illustrate techniques for following up these significant differences in an attempt to explain underlying causes. Potential uses of the results of each of these pieces of analysis are also outlined.

Of course, the final test of the utility of IEP data is the ability to actually link those data and the results of analysis to the specific planning and management problems. Pilot test and field review experience has revealed numerous examples of this kind of data use. Brief narratives of IEP data use in twelve pilot test institutions are described in *Profiles of Management Information Uses* (Huff and Young, 1974). As is pointed out: "The information uses described in this document are numerous and varied; they include resource allocation, curriculum development, contract negotiations, budget preparation, cost explanation, and accreditation self studies. These data have been used at the level of the department; the school, college, or division; and the overall institution. Specific users have included department heads, deans, academic senates, institutional research directors, vice-presidents (for academic affairs, student affairs, budget and finance), presidents, systems officers, and boards of trustees."

More detailed case studies that examine in-depth the technical and organizational issues that surround some uses of data in selected institutions are forthcoming from NCHEMS. These case studies include a description of the institutionalization of IEP data at the State University of New York at Plattsburgh, the use of IEP data in budgeting and master planning at Colorado State University, the development and use of a model driven by contribution/consumption information in academic planning at State University College at Buffalo, and longitudinal and cross-sectional analysis of student data at Central Washington State College.

Finally, it should be noted that the issue of data use (whether IEP or other kinds of data) is a highly complex and dynamic process. Only some of the surrounding issues have been touched upon here.

IEP IMPLEMENTATION

IEP provides a set of "targets" for institutions. These targets apply to the structures, the definitions, and the procedures that comprise IEP. Not all schools will be able to fully achieve these targets, nor are they expected to. Minor variations from the targeted structures, measures, and procedures are allowable (in the exchange context) so long as they are recognized as such and are documented in any information that is exchanged.

As mentioned, IEP consists of three categories of data: (1) data generally describing the institution, its students, and its resources (see Appendix A, formats A.1 through C.3); (2) data describing the outcomes of instructional programs (see Appendix A, formats F.1 through F.2); and (3) cost data (see Appendix A, formats D.1 through E.2). The procedures for collecting and processing these categories of data will be described separately. Definitions of the categories of data for a format are included in Appendix A on the page following each format.

Descriptive Data Procedures

There are no specific guidelines describing the steps an institution must take to collect the data for general descriptive formats. Generally, the procedures are to locate the necessary "raw" data in institutional records and summarize it in a manner consistent with IEP definitions. There is difficulty in being more specific, as either many of the data are already available in the required form or the necessary manipulations vary depending on the sources and form of the data. These data are important in explaining differences and determining compatibility.

Cost Study Procedures

Procedures for the preparation of cost data are the most detailed part of IEP. In addition to the need to extract data elements from institutional records, the procedures recommend a methodology for cost analysis that includes a number of computations. The resulting cost information shows the total cost of each subprogram in a version of the NCHEMS Program Classification Structure (PCS) for the campus and more detailed analysis of instructional areas, including total and average costs in disciplines and student programs. There are also guidelines for the proration or allocation of support costs. Implementation of the cost study portion of IEP is aided by a set of computer software (the NCHEMS Costing and Data Management System) designed to support institutional cost analysis. The software is further described in the IEP Software Support section of this document. Use of this software requires that a campus collect and format data describing student course loads, faculty workloads, and financial expenditures for input to the NCHEMS system.

Field experience indicates that the use of such generalized software provides an expedient means for performing cost analysis within the IEP guidelines and definitions. This avoids the need for a campus to develop new or adapt existing software for purposes of IEP. Where the NCHEMS software does not simplify the development of IEP cost information, a campus should consider modifying the NCHEMS software or developing its own. Future IEP developmental efforts will consider other approaches to the IEP cost study procedures that are less dependent on computer software.

Procedures for using the software to conduct a cost study using the IEP structure of cost centers and definitions are outlined in *IEP Cost Study Procedures (Second Edition)*, Technical Report No. 65. The cost study procedures can be summarized into eight steps:

(1) *Develop the IEP Cost Center Structure*—A variation of the NCHEMS Program Classification Structure (PCS) is the framework within which cost information is developed. This step identifies the specific cost or activity centers into which subsequent steps will transfer student, personnel, and financial data.

(2) *Develop an Instructional Workload Matrix (IWLM)*—Student registration data are the basis for construction of an IWLM that describes a supply and demand relationship between each instructional discipline and student program (major). (See Appendix B for a more complete description of the IWLM.)

(3) *Cross Over Direct Expenditures to the IEP Structure*—Financial expenditure data must

be reorganized from the institutional chart of accounts into the IEP structure. This is accomplished by a series of steps that: (1) ensure that financial data are consistent with IEP definitions; (2) distribute some institutional accounts among multiple programmatic activities; and (3) transfer the remaining accounts into the IEP structure with manually prepared "crossover" instructions.

(4) *Calculate Direct Instructional Discipline Unit Costs*—With student registration and financial data attached to the IEP structure, it becomes a straightforward task to compute average direct costs for instructional disciplines. Direct costs are those costs directly attributable to a programmatic activity such as instruction, research, student support, and so forth. The glossary provides a more complete description of the cost elements included in direct costs.

(5) *Calculate Direct Student Program Unit Costs*—The average discipline direct costs and the IWLM data are used to determine the total cost of programs and the average cost per credit hour "consumed."

(6) *Prepare for Full Cost Analysis*—This step prepares an additional set of data to be used in the full cost analysis. These data describe capital cost for buildings, land improvements, and equipment.

(7) *Allocate Support Costs/Calculate Full Costs*—The direct costs of supporting activities (library, business office, student affairs, and so forth) are allocated or prorated across those areas that produce final institutional products (referred to as final cost objectives) such as instruction, research, public service, faculty and staff services, intercollegiate athletics, and others. The result of this allocation is to produce the full cost (direct cost and allocated support cost) of each final cost objective.

(8) *Calculate Full Unit Costs*—The full costs derived in the previous step are used to calculate the average full cost for instructional disciplines and student programs in the same manner as steps 4 and 5.

The *IEP Cost Study Procedures* manual provides a more detailed description of these procedures and their data requirements as well as an explanation of the use of NCHEMS software in processing the data. Table 1 outlines the required data elements for conduction of IEP cost analysis.

Outcomes Study Procedures

IEP outcomes data fall into two categories: record-based data and data obtained through survey. The record-based data, like descriptive data, are obtained from institutional records and must be summarized in the same manner to provide the necessary statistics. Additional outcomes data are usually obtained through use of a standardized questionnaire completed by exiting students. Use of a standardized survey has a significant effect on data compatibility and serves to remove a large obstacle for IEP participants, that of designing a survey instrument. The survey also has the advantage of having been tested on over 50 campuses during the past two years. Data collected through the survey represent instructional outcomes that are both feasibly measured and easily collected through a survey of students.

The procedures for conducting and processing the IEP outcomes survey are detailed in *IEP Outcomes Study Procedures,* Technical Report 66. Technical software support for analysis of the outcomes data is available from NCHEMS and is described in the same document.

TABLE 1

Data Element	*Time Period*
Student Registration Data*	Fiscal Year
Student Identifier Course Data discipline course level credit hours Student Program Student Level	
Personnel Data**	Fiscal Year
Faculty Identifier Faculty Name Faculty FTE Faculty Compensation Faculty Assignments instruction research administration etc.	
Financial Data***	Fiscal Year
Year-End Expenditure Balances Adjustment/Crossover Instructions	

*A machine-readable record must be prepared with the elements listed for each student in each course during the time period studied.

**A set of personnel records with the elements listed must be provided for each faculty member. Generally, this would be persons with any part of their duties in instruction.

***The only data extracted from institutional records are the year-end expenditure balances.

PROJECT ORGANIZATION

Implementing the Information Exchange Procedures on a college campus requires a coordinated effort on the part of management users, computer center personnel, and data collectors. There is a prevailing attitude that the success of such a management system is closely related to the commitment on the part of top-level management to accept and use it. While it is true that the ultimate success of a management system is its utility to campus managers, many systems are developed on an experimental basis without such full commitment. In this case, the experimental model or system is then provided for management evaluation and use after testing.

A campus should organize an IEP implementation that thoroughly tests the ability of campus data systems to provide the necessary data and allows consideration of how helpful the resulting data are in campus decision making. A frequently used strategy is one of installing the procedures and collecting data on an ad hoc basis. This minimizes the campus investment in time devoted to IEP, while producing enough data to perform comparative analysis. In this way, the merits of IEP are judged on the basis of its usefulness in decision making through comparative studies as well as the institution's ability to install it and collect data.

The IEP project plan on campus must consider the timing for involvement of the potential users of the information. These campus managers should become involved as soon as accurate, well-understood IEP data are available. It is the IEP project manager who must frequently explain what the information is and how it is derived. A common mistake is to "over-kill" initially by presenting all of the countless reports produced by the IEP costing procedures. It is more advisable to begin with very summarized data or a single type of data such as the IWLM.

Selecting a Project Team

The implementation of IEP requires personnel with a number of specialties that include:

Computer Area: Someone who understands the campus computer systems. This person should be given responsibility for installing the NCHEMS software, extracting data, where possible, from computer data systems for input to the software, and ensuring runs can be submitted easily.

Financial Area: A person with an understanding of the campus chart of accounts and the accounting practices used in expenditure accounting. This person should be responsible for the "cross-over" of financial data into the IEP structure (refer to step 3 of the Cost Study Procedures).

Student Area: A person who understands the data sources and coding schemes used in student registration records. This person should supervise collecting and processing data to produce the Instructional Work Load Matrix.

Personnel Area: A person with an understanding of the records on campus that describe faculty workloads. This person should supervise the collection and processing of the faculty data.

Outcomes Area: A person who can be responsible for collecting the record-based and surveyed student outcome information. This person will be responsible for administering, collecting, and processing the Student Outcome Survey.

Descriptive Data: A person with knowledge of data sources on campus should organize the collection of the descriptive data about the institution.

In actual practice, a single person on the project team frequently has qualifications for more than one area. It is often the case that an analyst in the Institutional Research or Planning Office is teamed with a computer specialist to form a two-man team. The project should have a project manager who can monitor the implementation process and gain sufficient understanding to explain the process and its applications to management users, faculty, and other interested people.

Developing a Project Plan

The plan to implement IEP should contain a series of project milestones, patterned after each of the IEP procedures and the steps within them. In the cost study procedures, the eight steps serve as good milestones. Many of the steps depend on NCHEMS software so that the milestones might include the following tasks: (1) install the appropriate module

of the NCHEMS Costing and Data Management System, (2) collect the input data required by the module, (3) process the data to produce initial results, (4) refine the data to ensure compatibility, and (5) produce final results.

The sequence of activities in the project can allow for a number of concurrent tasks. The collection of general descriptive data and outcome data, for example, can be carried on simultaneously with the IEP cost study. In the cost study procedures that were outlined in the IEP Implementation section of this document, development of an IWLM (step 2) and crossover of financial expenditure data (step 3) are the most time-consuming tasks and can be concurrent.

A time schedule for the project depends in a large part on the size of the project team and the amount of time that the team members can devote to the implementation effort. On campuses where the project is given high priority, may complete an implementation in 2 to 4 months. However, in most institutions a minimum of six calendar months should be allowed for the project. Part of the NCHEMS staff support to the IEP project is to assist a campus in the development of a more detailed project plan. This allows the consideration of campus priorities, size of the project team, size of the campus, and expected difficulty in preparing data for input to NCHEMS software.

The IEP project manager should be responsible for coordinating the efforts of the project team, effectively using the NCHEMS staff, and keeping the management users up-to-date on the project's status. The efforts of the project team and the need for their coordination depend on the size of the team. It is important, for example, that the IEP procedures follow generally the sequence of the steps outlined in the more detailed NCHEMS implementation manuals.

The project manager must also provide periodic reports to the campus administrators on the project status and results. In addition to the status reports, NCHEMS staff may have suggestions on presenting summary information to administrators as the project moves along.

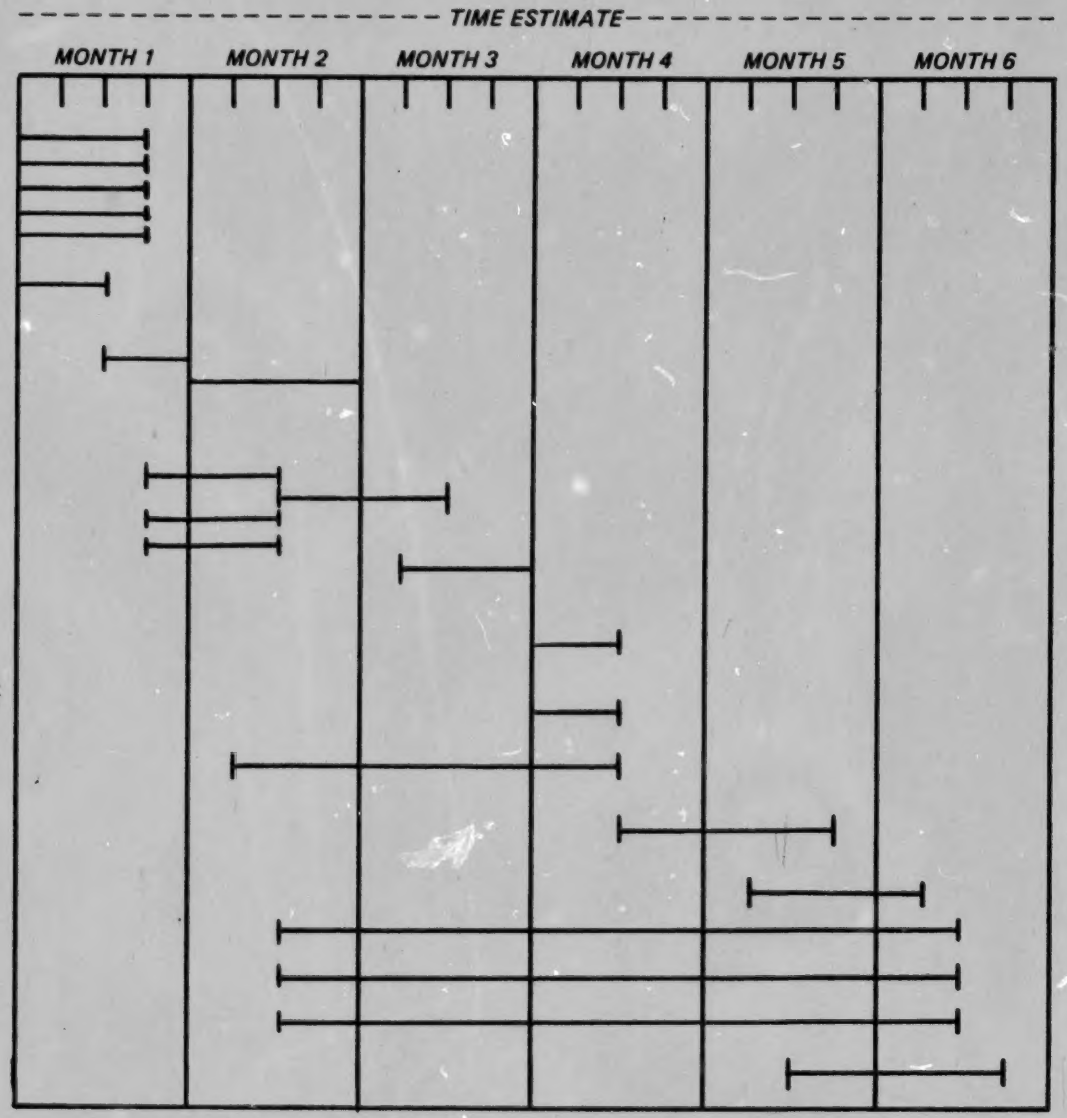
Figure 1 outlines an exemplary project plan for an IEP implementation effort. It describes the project activities and suggests their duration for a 6-month implementation target. Actual implementation times will vary with the accessibility of data, amount of time available for the project team to devote to IEP, computer availability, and the amount of support necessary from NCHEMS staff.

NCHEMS Support

The NCHEMS staff is available to support the wide-scale implementation of the Information Exchange Procedures. Under current policies the staff provides implementation assistance to groups of campuses in: (1) developing a more detailed plan for campus implementation, (2) identifying the sources of data on campus, (3) explaining the conceptual methodology for the cost analysis portion of IEP, (4) dealing with specific problems related to the collection or processing of IEP data, and (5) suggesting possible approaches to the explanation and use of the data on campus. NCHEMS staff generally work with a group of institutions in a geographic region. The group meets periodically to discuss IEP implementation problems and strategy. Group meetings are scheduled in a manner that provides for a meeting after participating campuses have reached one of the project milestones. The NCHEMS staff also provides assistance with more immediate technical problems through telephone conversations or correspondence.

Regional group meetings not only provide technical assistance for the campus project team but also promote helpful discussions among the individuals from different campuses on project-related matters. Such group meetings are used to modify the definitions and procedures if necessary to promote more "regional" compatibility or one of the other variants of IEP. In such a case, the NCHEMS staff provides assistance in developing such variants and in identifying the areas in which the changes lead to incompatibility with national definitions and procedures.

Figure 1
EXEMPLARY IEP IMPLEMENTATION PLAN



ACTIVITIES

Install NCHEMS Software
- Student Data Module (SDM)
- Personnel Data Module (PDM)
- Account Crossover Module (ACM)
- Data Management Module (DMM)
- Student Outcomes Module (SOM)

Develop the IEP Activity Structure

Develop the Instructional Work Load Matrix
- Collect Student Registration Data
- Process Data with SDM Software

Cross Over Direct Expenditures to the IEP Activity Structure
- Collect Faculty Activity/Assignment Data
- Process Faculty Data with PDM
- Collect Year-End Expenditure Data
- Collect Manual "Crossover" Data
- Process Expenditure/"Crossover" Data with ACM

Calculate Direct Instructional Discipline Unit Costs with DMM

Calculate Direct Student Program Unit Costs with DMM

Prepare for Full Cost Analysis

Allocate Support Costs/Calculate Full Costs with DMM

Calculate Full Unit Costs with DMM

Collect Descriptive IEP Data

Collect Student Outcome Record-based Data

Collect Student Outcome Questionnaire Data

Process Student Outcome Data with SOM

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IEP DOCUMENTATION

The concepts described in this manual represent the efforts of the IEP advisory groups, the NCHEMS staff, and the NCHEMS Board of Directors. This publication represents an update to the available documentation and is intended to simplify the project for the campus implementer. However, while IEP is thought of as a final product, there will continue to be improvements to the material available to support its implementation. The documents listed include those that are currently available and relate to the IEP project. These include:

Information Exchange Procedures Activity Structure, Technical Report No. 63, specifies the cost structure to be used in collecting institutional cost data. The year-end expenditures for the campus chart of accounts are mapped into the IEP structure. The manual provides detailed examples helpful in doing this mapping or crossover. The IEP structure is based on the NCHEMS *Program Classification Structure,* Technical Report No. 27, as modified in late 1974.

Information Exchange Procedures Cost Study Procedures (Second Edition), Technical Report No. 65, contains the detailed procedures for implementing the cost study portion of IEP. This document provides specific instructions on using the NCHEMS Costing and Data Management software to support the costing methodology. This document is helpful to those persons who process the student, personnel, or financial data as part of the cost study procedures. The costing procedures specified in this document are based on those developed in the Cost Finding Principles project.

Information Exchange Procedures Outcomes Study Procedures, Technical Report No. 66, contains the procedures for completing the outcomes study portion of IEP. The manual describes the IEP outcome measures and the student questionnaire used to obtain them. It also provides some instructions on the administration of the questionnaire and the use of NCHEMS software in performing basic types of analysis using the outcomes data. The outcomes measures and procedures specified in this document are based on those developed in the Outcomes of Postsecondary Education Project at NCHEMS.

The NCHEMS Costing and Data Management System is a set of software designed to support the Information Exchange Procedures Project. Readers concerned with the installation and use of the software should refer to the following document:

An Introduction to the NCHEMS Costing and Data Management System, Technical Report No. 55, describes briefly the software purpose, structure, and capabilities. It also discusses the types of data that are processed by each of the modules in the system, the function of each module, and the types of reports that are produced.

Specific discussions of the operation of each Costing and Data Management System module are included in the following documents:

Account Crossover Module Reference Manual, Technical Report No. 57.

Faculty Activity Module Reference Manual, Technical Report No. 58.

Personnel Data Module Reference Manual, Technical Report No. 59.

Student Data Module Reference Manual, Technical Report No. 60.

Student Outcomes Module Reference Manual, Technical Report No. 61.

Data Management Module Reference Manual, Technical Report No. 62.

IEP SOFTWARE SUPPORT

The NCHEMS Costing and Data Management System is a generalized set of computer software designed to assist institutions in the conduction of cost studies. The system supports both historical and predictive cost studies. Historical studies refer to those that focus on cost related data that reflect actual events over a specified *prior* time period, while predictive studies forecast costs that will be incurred during some *future* time period. The NCHEMS IEP project provides definitions, structures, and procedures for conducting historical cost studies. The Costing and Data Management System supports IEP by processing student, personnel, and financial data with a set of IEP definitions to produce compatible information on discipline and program costs. The IEP definitions and structure are input to the system as data. To use different definitions or a different structure for historical cost studies does not diminish the utility of the software but simply changes the input data that are provided.

The Costing and Data Management System supports predictive cost studies by developing input data for the NCHEMS Resource Requirements Prediction Model (RRPM 1.6). RRPM data are provided for student enrollments, student course consumption patterns (ICLM), faculty workloads (productivity), faculty salaries, and faculty rank distribution. There are additional data requirements for RRPM that are not met by the Costing and Data Management System.

APPENDIX A

INFORMATION EXCHANGE PROCEDURES
DATA FORMATS AND DEFINITIONS

LIST OF IEP DATA FORMATS

A.1 General Information
A.2 Statement of the Goals and Missions of the Institution
B.1 Student Information: Demographic Data
B.2 Student Information: Headcount Enrollments
B.3 Student Information: Enrollment Status
B.4 Student Information: Financial Aid
B.5 Student Information: Entering Freshmen Abilities
B.6 Student Information: Tuition and Fees
C.1 Resource Information: Instruction/Research Professionals
C.2 Resource Information: Personnel
C.3 Resource Information: Facilities
D.1 Financial Information: Direct and Full Cost Summary
D.2 Financial Information: Individual or Project Research
D.3 Financial Information: Columnar Balance Sheet
D.4 Financial Information: Current Revenues by Source
D.5 Financial Information: Current Funds Source/Use Format
E.1 Unit Cost Information: By Discipline and Course Level
E.2 Unit Cost Information: By Study Program and Student Level
F.1 Student Outcomes Information: Program Enrollments and Completions
F.2 Student Outcomes Information: Outcomes Questionnaire for Program Completers

NOTE: The data formats have been coded by the type of information displayed on each format. For example, the A's have been reserved for general information, the B's for student information, and so forth. A third digit should be used for data formats that run more than one page, for example, D.1.1 and D.1.2.

GENERAL INFORMATION

1. INSTITUTION NAME: _____

2. UNIT (CAMPUS) DESCRIBED: _____
   Name
   Street or P.O. Box _____
   City _____ State _____ Zip Code _____

3. FICE CODE OF UNIT DESCRIBED: _____

4. INDIVIDUAL TO CONTACT:
   Name _____
   Title _____
   Street or P.O. Box _____
   City _____ State _____ Zip Code _____
   Phone _____

5. TYPE OF UNIT DESCRIBED: (check highest degree offered)
   _____ Associate Degree or Certificate
   _____ Bachelor's Degree
   _____ First Professional Degree
   _____ Master's Degree
   _____ Doctorate Degree

6. INSTITUTIONAL STRUCTURE (check one)
   _____ Single Campus Institution
   _____ Main Campus Plus Branch(es) and/or Extension(s)
   _____ Multicampus System
   _____ Other (Please Describe) _____
   _____

7. LEGAL CONTROL:
   _____ Public _____ Private _____ Other (Specify)

8. PREDOMINANT CALENDAR SYSTEM (check appropriate category)
   _____ Semester _____ 4-1-4
   _____ Tri-Semester _____ Other (Specify) _____
   _____ Quarter

9. FISCAL YEAR REPORTED _____ (Month/Year) to _____ (Month/Year)

10. NUMBER OF MONTHS IN ACADEMIC YEAR _____

11. WHAT IS THE CENSUS DATE AT WHICH STUDENT ENROLLMENT IS DETERMINED? _____

12. ARE THE FACULTY AT THE UNIT DESCRIBED COVERED BY A COLLECTIVE BARGAINING AGREEMENT? _____

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INSTRUCTIONS AND DEFINITIONS (A.1)

Item 1: The legal name of the institution; exclude campus name.
Example: University of California

Item 2: The smallest self-contained unit that can provide data on the following: revenue, enrollment, personnel, and costs across activity centers.
Example: Berkeley Campus

Item 3: Federal Interagency Committee on Education (FICE) Code assigned to the unit described.

Item 5: Check the highest degree offered at the unit described:
First Professional Degrees include only:
M.D.
D.O.
LL.B. or J.D. (if J.D. is considered first professional law degree)
D.D.S.
D.V.M.
O.D.
B.D., M.Div., Rabbi
Pod.D., P.M.

Item 6: Single Campus: An institution having only one campus.

Main Campus: An institution consisting of one parent campus plus any number of branch campuses or extension centers.

Multicampus: An institution consisting of several administratively equal campuses, often controlled by one central office.

Other Institutional Structure: This category should be used for other institutional structures not accounted for in the above distinction. If this category is used, briefly explain the institutional structure.

Item 9: Beginning date and ending date of the fiscal year for which this information is reported.

Item 10: Academic Year: A consecutive period of time that is institutionally designated as the academic year. Academic year may be equivalent to a fiscal year or may include only some of the sessions during which course work is offered. Most typically, an academic year is equated to two semesters, three quarters, two trimesters, or the period of time covered by the 4-1-4 plan.

Item 11: Census Date: The designated day in an academic term, after most drops/adds have been completed, when the institution takes official enrollment counts (typically sometime between the second and fourth week of classes).

STATEMENT OF THE GOALS AND MISSIONS OF THE INSTITUTION

INSTRUCTIONS AND DEFINITIONS (A.2)

General: On the following page, the goals and missions of the institution should be stated. Areas that might be mentioned are the relative priority of programs, enrollment policies, financial aid policies, projected shifts in sources of revenues, proposed changes in staffing patterns, and desired student outcomes. Please be as specific as possible.

STUDENT INFORMATION:

DEMOGRAPHIC DATA

(Fall Term Headcount)

	DESCRIPTORS	Degree/Diploma/ Certificate Students		Nondegree/ Diploma/ Certificate Students	TOTALS
		Undergraduate	Graduate		
STATUS	Full-Time				
	Part-Time				
AGE	17 years or younger				
	18-20 years				
	21-24 years				
	25-29 years				
	30-49 years				
	50 years or older				
SEX	Male				
	Female				
CIVIL RIGHTS CATEGORY	American Indian or Alaska Native				
	Asian or Pacific Islander				
	Black/Negro				
	Hispanic				
	White, Other Than Hispanic				
	Not Reported				

Degree/Diploma/Certificate Students: Students who have been admitted to a general or specific course of study or program at the completion of which a degree/diploma/certificate is awarded by the institution. Students who have not yet declared a major (indicated the specific course of study they will follow) should still be classified as degree/diploma/certificate students.

Undergraduate: A matriculated student who has not yet completed a bachelor's degree program. Includes lower division and upper division student levels.

Graduate: A student who holds a bachelor's degree and is enrolled in a first professional or graduate degree program. Includes first professional, graduate I and graduate II student levels.

Nondegree/Diploma/Certificate Students: Students who have not been admitted to a general or specific course of study or a program in the institution at the completion of which a degree, diploma, certificate is awarded by the institution. These students may be enrolled in credit and/or noncredit courses. They should not be confused with "undeclared majors" admitted to degree/diploma/certificate programs or students in other similar "holding" categories.

Full-Time: Those students, regardless of level of program, registered for at least 75% of a normal load required to complete a student's program or course of study within the normal time.

Part-Time: Those students registered for less than full-time.

Civil Rights Category: Definitions of civil rights categories do not correspond to strict scientific definitions, but rather to student self-reported designations. The following categories and definitions are those developed by the Federal Interagency Committee on Education (FICE). While these categories are still tentative, they represent the most timely and substantive contribution to a revision of civil rights categorizations.

American Indian or Alaska Native: A person having origins in any of the original peoples of North America.

Asian or Pacific Islander: A person having origins in any of the original peoples of the Far East, Southeast Asia, or the Pacific Islands. This area includes, for example, China, Japan, Korea, Philippine Islands, and Samoa.

Black/Negro: A person having origins in any of the original peoples of sub-Sahara Africa.

Hispanic: A person of Mexican, Puerto Rican, Cuban, Central or South American, or other Spanish culture or origin, regardless of race.

White, Other Than Hispanic: A person having origins in any of the original peoples of Europe, North Africa, the Middle East, or the Indian subcontinent.

Data Source: Registrar.

STUDENT INFORMATION:

HEADCOUNT ENROLLMENTS

	DEGREE/DIPLOMA/CERTIFICATE STUDENTS						NONDEGREE/DIPLOMA/CERTIFICATE STUDENTS		
Dates Of Terms	Lower Division	Upper Division	First Professional	Graduate I	Graduate II	Residents, Interns & Other	Under-Graduate	Graduate	TOTALS

INSTRUCTIONS AND DEFINITIONS (B.2)

General: This format requests term-by-term headcount enrollments by student level taken at the institutionally defined census date in each term. Please specify the beginning and ending date of each term. Include all academic terms during the fiscal year including interim sessions and summer sessions.

Degree/Diploma/Certificate Students: See Format B.1.

Nondegree/Diploma/Certificate Students: See Format B.1.

Student Levels:

Lower Division: Includes all students who are enrolled in programs leading to an associate degree (including three-year associate degree programs) or in undergraduate occupational or vocational programs of three years duration or less; and all other undergraduate students who have earned less than fifty percent of the number of academic credits normally required for a four-year bachelor's degree (typically classified as freshmen or sophomores).

Upper Division: Includes all undergraduate students who are not in associate degree or occupational-vocational programs and who have earned fifty percent or more of the academic credits normally required for a bachelor's degree (typically classified as juniors and seniors). Includes students in years three, four, and five of five-year bachelor's degree programs.

First Professional: Includes all students who are pursuing any one of the following "first professional" degree programs: M.D.: D.O.; LL.B. or J.D. (if J.D. is the first professional degree); D.D.S.; D.V.M.; O.D.; B.D., M.Div. or Rabbi; Pod.D. or P.M. Students enrolled in undergraduate "preprofessional" curricula and students in the first two years (corresponding to the undergraduate freshmen and sophomore years) of integrated graduate professional degree programs should be classified as lower division, and not as graduate professional students.

Graduate I: Includes all students who hold a bachelor's degree or the equivalent (or a "first professional" degree) and (a) are pursuing a master's degree, or (b) are pursuing a doctoral degree, but have not earned a master's degree and have earned fewer than the equivalent number of credits normally required for a master's degree, or (c) are in a special, unclassified, visitor, or other status, or (d) are pursuing an Educational Specialist certificate, degree, or coordinate intermediate level degree program, whether or not they possess an earned master's degree.

Graduate II: Includes all students who are pursuing a doctoral (except first professional) degree program, except those who are classified as Graduate I by the definition provided above.

Other (Specify): Includes medical interns and residents as well as any students not otherwise defined.

Data Source: Registrar.

STUDENT INFORMATION:

ENROLLMENT STATUS

(Fall Term Headcount of Degree/Diploma/Certificate Students)

	ENROLLMENT STATUS				GEOGRAPHIC ORIGIN		
STUDENT LEVEL	New Students	Transfer Students	Continuing Students	Readmitted Students	In-District Students	In-State Students	Out-Of-State Students
Lower Division							
Upper Division							
First Professional							
Graduate I							
Graduate II							
Other (Specify)							
TOTALS							

Enrollment Status:

New Undergraduate Student: A student entering the institution for the first time with less than one semester of academic credit earned at another institution that is applicable for credit at the institution of current enrollment; also included is a student who has earned any amount of credit solely by means of the College Level Examination Program or similar academic exemption test.

New Graduate Student: A student entering the institution classified as a graduate level student for the first time (a student who attended the institution as an undergraduate will still be classified as a new graduate student when first admitted at this level).

Transfer Student: A student entering the institution for the first time with one semester or more of academic credit earned at another institution that is applicable for credit at the institution of current enrollment.

Continuing Student: A currently enrolled student who was enrolled also during the previous academic term at the institution. Disregard summer session or other special sessions not considered to be part of the academic year.

Readmitted Student: A currently enrolled student who was enrolled previously at the institution, but who was not enrolled during the academic term immediately preceding the current term. Disregard summer session or other special sessions not considered to be part of the academic year.

Geographic Origin at First Attendance: The legal residence, including home address, of a student at the time of original admission to the institution.

In-District Student: A student who is legally domiciled within the district of the institution he/she is attending.

In-State Student: A student who attends a postsecondary education institution in the state in which he/she is legally domiciled. If the institution also tabulates in-district student data, care should be exercised to avoid double-counting.

Out-Of-State Student: A student who attends a postsecondary education institution outside of the state in which he/she is legally domiciled. Foreign students are included in this category.

Data Source: Registrar.

STUDENT INFORMATION: FINANCIAL AID (Fiscal Year)

APPLICANTS FOR FINANCIAL AID

Annual Family Income

	Number
Less than $3,000	
$3,000 to $5,999	
$6,000 to $7,499	
$7,500 to $8,999	
$9,000 to 11,999	
12,000 to 14,999	
15,000 to 19,999	
$20,000 or over	
Independent	
Not Known	
TOTAL	

Student Level

	Number
Under-graduate	
Graduate	
TOTAL	

Sex

	Number
Female	
Male	
TOTAL	

RECIPIENTS OF FINANCIAL AID

Annual Family Income

	Number	Amount
Less than $3,000		$
$3,000 to $5,999		
$6,000 to $7,499		
$7,500 to $8,999		
$9,000 to 11,999		
12,000 to 14,999		
15,000 to 19,999		
$20,000 or over		
Independent		
Not Known		
TOTAL		$

Student Level

	Number	Amount
Under-graduate		$
Graduate		
TOTAL		$

Sex

	Number	Amount
Female		$
Male		
TOTAL		$

AMOUNT OF FINANCIAL AID AWARDED (BY TYPE OF AWARD)

	Grants	Loans	Work/Study	TOTALS
Undergraduate	$	$	$	$
Graduate	$	$	$	$

INSTRUCTIONS AND DEFINITIONS (B.4)

General: Format B.4 is a summary of financial aid information. Profiles of students applying for and receiving financial aid are displayed. Also the total amount of financial aid is included, by type of award. The headcount and dollar amounts are for all applicants, recipients, and awards made during the fiscal year.

Financial Aid: The total dollars made available to students at an institution for financial assistance, either awarded by and/or administered through the institution, regardless of the source(s) of funds.

Grants: All stipends, tuition, fee remissions, and gifts to students that are outright awards and are not contingent upon services to be rendered by the student. Includes all fellowships and scholarships to graduates or undergraduates. Also included are such grants as Basic Educational Opportunity Grants (BEOG); Supplementary Educational Opportunity Grants (SEOG); State Grants or Scholarships; Institutional Grants or Scholarships including Tuition and Fees Remissions; Private Grants or Scholarships; and Graduate Fellowships.

Loans: Funds made available to students for assistance on a loan basis. The sources of these funds may be gifts, endowment income, other institutional funds, private sources, and/or appropriations of governmental agencies. National Defense Student Loans would be included here. Excluded are short-term loans (usually three months) available to all students regardless of need.

Work/Study Assistance: The extension of financial aid support to students through the College Work/Study program in which federal or state government contributes partial monies for the payment of services rendered by students and required for financial assistance.

Financial Aid Applicant: Any student who has applied for financial aid during the fiscal year. A student should be counted only once in each tabulation as applicant no matter how many types of assistance the student applied for.

Financial Aid Recipient: An enrolled student who has received one or more forms of financial aid during the fiscal year. A student should be counted only once in each of the financial aid recipient tabulations.

Family Income: The adjusted gross annual income (as defined by the Internal Revenue Code) for a student's parents as reported on financial aid applications and other student records. Under Federal regulations, a student may be classified as an independent student for financial aid purposes only if all three of the following conditions apply.

1. A student was not claimed as an income tax exemption in either the current or previous year by anyone other than his/her spouse,
2. A student did not receive financial assistance or more than $600 from his parents or guardians during the current or previous year, and
3. A student did not live with his parents or guardians for more than two consecutive weeks during the current or previous year.

Data Source: Financial Aid Officer.

STUDENT INFORMATION:
ENTERING FRESHMEN ABILITIES (Fall Term)

SAT Scores for Fall Term Freshmen

	Number of Students in SAT Score Intervals						
	200-299	300-399	400-499	500-599	600-699	700-800	Average
Quantitative							
Verbal							
TOTAL							

ACT Scores for Fall Term Freshmen

	Number of Students in ACT Score Intervals						
	1-12	13-16	17-22	23-26	27-31	32-36	Average
Mathematics							
English							
Social Sciences							
Natural Sciences							
Composite							

High School Rank for Fall Term Freshmen

	Number of Students in Rank Intervals (Measured in Percentiles)						
Percentile Interval	0-10	11-25	26-50	51-75	75-90	91-99	Average Percentile
Number of Students							

INSTRUCTIONS AND DEFINITIONS (B.5)

General: SAT scores, ACT scores, and high school rank are to be recorded for all entering freshmen during the fall term. If this information is not collected for all entering freshmen, footnote the percent of the freshman class for which each measure is reported.

Average Test Score: The arithmetic mean of the test scores reported.

Total SAT Score: The sum of the quantitative and verbal test scores.

Composite ACT Score: The arithmetic mean of the four tests included in the ACT entrance exam.

High School Rank: The rank, in percentiles, of each student in his/her high school graduating class. The 99th percentile represents the highest rank in the class. The average rank is the arithmetic mean of all ranks reported.

Data Source: Student Admissions Officer.

STUDENT INFORMATION:

BASIC TUITION AND FEE CHARGES

(For a Full-Time Student for An Academic Year)

	Tuition	Required Fees	TOTALS
Lower Division In-District (Community Colleges)			
Lower Division In-State			
Lower Division Out-Of-State			
Upper Division In-State			
Upper Division Out-Of-State			
First Professional In-State (Specify) _____	_____	_____	_____
_____	_____	_____	_____
First Professional Out-Of-State (Specify) _____	_____	_____	_____
_____	_____	_____	_____
Graduate I In-State			
Graduate I Out-Of-State			
Graduate II In-State			
Graduate II Out-Of-State			

INSTRUCTIONS AND DEFINITIONS (B.6)

Tuition: The amount of money charged to students for instructional services; tuition may be charged on a per-term, per-course, or per-credit basis. For Format B.6, the tuition charge quoted should reflect tuition for a full-time student for an academic year.

Required Fees: Charges that are assessed to students for certain items not covered by tuition. Only required fees applicable to each student level are included; fees may include student activities, health services, student center, athletics, construction, and so forth. Should not include first-time admissions or application charges.

Student Levels are defined on the page facing Format B.2.

In-District: The tuition charged to students who are attending a community college within the district of their legal residence and are classified as In-District for tuition purposes.

In-State: The tuition charged to students who are attending an institution in the state in which they are legally domiciled and are classified as In-State for tuition purposes.

Out-Of-State: The tuition charged to students who fail to qualify for the In-District or In-State tuition categories.

Data Source: Registrar.

RESOURCE INFORMATION:

INSTRUCTION/RESEARCH PROFESSIONALS

(Fall Term Headcount)

	DESCRIPTOR	Professor	Associate Professor	Assistant Professor	Lecturer/ Instructor	Teaching Assistant	All Others	TOTALS
STATUS	Full-Time							
	Part-Time							
	Tenured							
SEX	Male							
	Female							
CIVIT RIGHTS CATEGORY	American Indian or Alaska Native							
	Asian or Pacific Islander							
	Black/Negro							
	Hispanic							
	White, Other Than Hispanic							
	Not Reported							
HIGHEST DEGREE EARNED	Doctorate							
	Master's							
	Bachelor's							
	All Others							
COMPEN-SATION	Average Full-Time Salary	$	$	$	$	$	$	$
	Average Full-Time Compensation	$	$	$	$	$	$	$

INSTRUCTIONS AND DEFINITIONS (C.1)

General: Headcount information in Format C.1 is to be completed for all Instruction/Research Professionals, that is, all individuals employed for the primary purposes of performing instruction and research activities. In most institutions of postsecondary education, these employees are the faculty. As a matter of convention, this category includes department chairmen, but excludes deans.

Full-Time Personnel: Those individuals available for full-time assignment for the period being reviewed or analyzed or those who are designated as "full-time" in an official contract, appointment, or agreement. Normally, those employees who work approximately 40 hours per week for the period being analyzed are considered full-time employees. Individuals who are on sabbatical leave should be included as full-time if that was the status of their employment prior to sabbatical.

Part-Time Personnel: Those individuals available for less than full-time assignment for the period being reviewed or analyzed or those who are designated as "part-time" in an official contract, appointment, or agreement.

Civil Rights Categories: Definitions of civil rights categories do not correspond to strict scientific definitions, but rather to faculty self-reported designations. Fuller descriptions of the categories developed by the Federal Interagency Committee on Education (FICE) can be found opposite Format B.1. While these categories are still tentative, they represent the most timely and substantive contribution to a revision of civil rights categorizations.

Average Salary and Compensation is reported for full-time personnel who are receiving full compensation for their services. This excludes persons who are donating all or some of their services.

Average Full-Time Salary: The average gross salary (excluding fringe benefits) paid to full-time Instruction/Research Professionals for a nine-month period of time. Gross salaries for 11-12 months of actual service (normally 11 months teaching plus one month vacation) should be reduced using a conversion factor of 9/11 (81.8 percent). Equivalent conversions should be used for other lengths of contract. Average full-time salary should be reported for each academic rank.

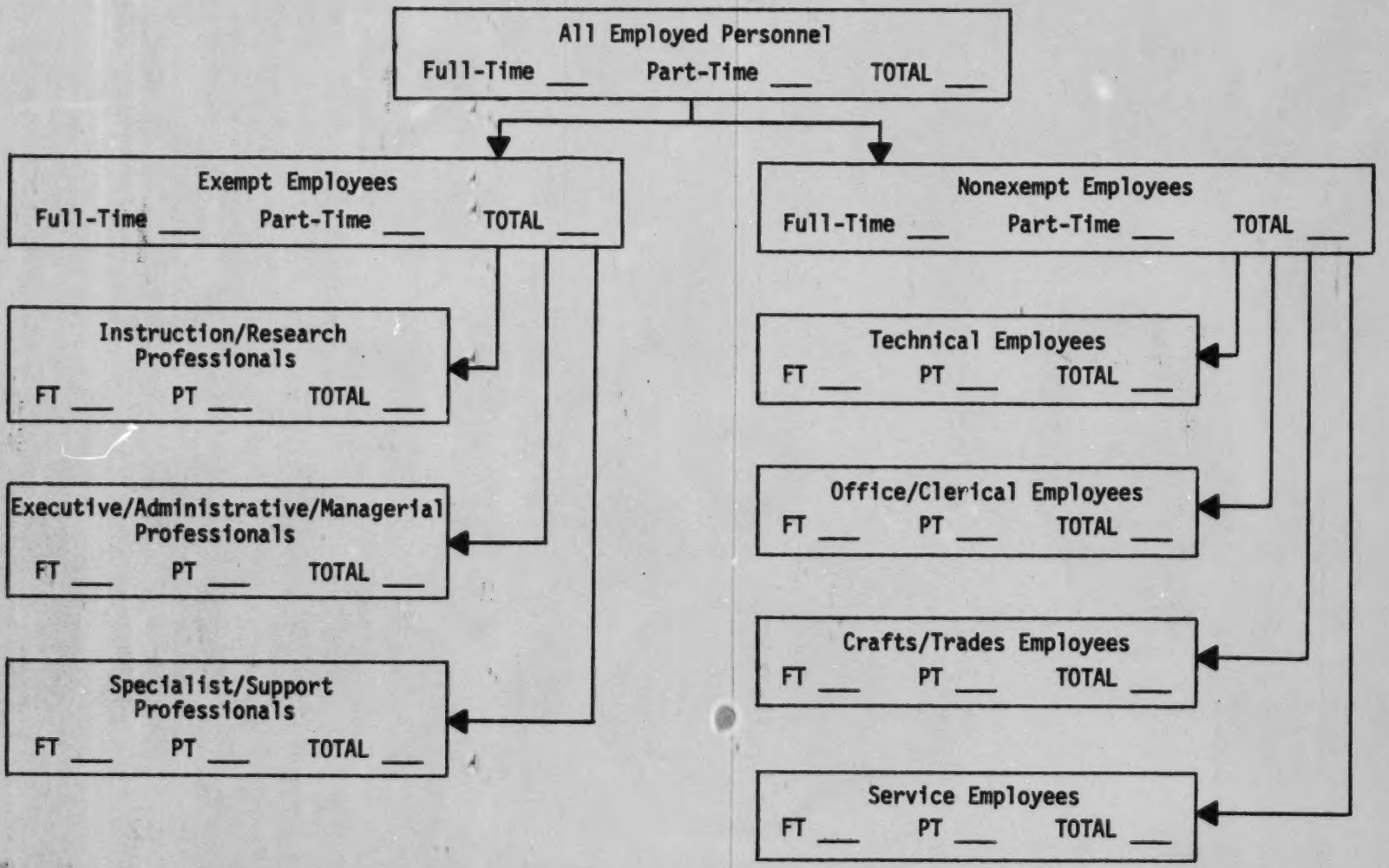
Average Full-Time Compensation: The average gross salary plus fringe benefits paid to or an behalf of full-time Instruction/Research Professionals for a nine-month period of time. Fringe benefits include the institution's contribution to Social Security, retirement, medical insurance, life insurance, guaranteed disability income protection, unemployment compensation, workmen's compensation, cash tuition for faculty children, cash housing benefits, and other benefits in kind with cash options.

Data Source: Chief Personnel Officer.

RESOURCE INFORMATION:

PERSONNEL

(Fall Term Headcount)


All Employed Personnel
Full-Time ___ Part-Time ___ TOTAL ___
Exempt Employees
Full-Time ___ Part-Time ___ TOTAL ___
Nonexempt Employees
Full-Time ___ Part-Time ___ TOTAL ___
Instruction/Research Professionals
FT ___ PT ___ TOTAL ___
Executive/Administrative/Managerial Professionals
FT ___ PT ___ TOTAL ___
Specialist/Support Professionals
FT ___ PT ___ TOTAL ___
Technical Employees
FT ___ PT ___ TOTAL ___
Office/Clerical Employees
FT ___ PT ___ TOTAL ___
Crafts/Trades Employees
FT ___ PT ___ TOTAL ___
Service Employees
FT ___ PT ___ TOTAL ___

INSTRUCTIONS AND DEFINITIONS (C.2)

General: The following definitions are taken from the Manual for Budgeting and Accounting for Manpower Resources in Post-secondary Education, Technical Report No. 67 (Jones, 1975).

Employee: Any individual being compensated by the institution for services rendered. Included are individuals who donate their services, if the services performed are a normal part of the institution's programs or supporting services and would otherwise be performed by salaried personnel. Specifically excluded are employees of firms providing services to the institution on a contract basis.

Exempt Employee: An employee exempt from the overtime provisions of the Fair Labor Standards Act of 1938, as amended. According to section 13 of that act "any employee employed in a bona fide executive, administrative, or professional capacity...."

Nonexempt Employee: An employee whose conditions of employment and compensation are subject to the overtime provisions of the Fair Labor Standards Act of 1938, as amended.

Instruction/Research Professionals: Individuals employed for the primary purposes of performing instruction and research activities. Typically includes only exempt employees. In most institutions of postsecondary education, these employees are the "faculty." Also includes research staff and research faculty. As a matter of convention, this category includes department chairmen but excludes deans.

Executive/Administrative/Managerial Professionals: Exempt employees employed for the primary purposes of managing the institution or a customarily recognized department or subdivision thereof. By convention, this category includes deans but excludes chairmen of academic departments (who are classified as Instruction/Research employees). Inclusion in this category requires the individual to have supervisory responsibilities.

Specialist/Support Professionals: Exempt employees employed for the primary purposes of performing (typically) academic support, student service, and institutional support activities. Excludes individuals who have executive or managerial (supervisory) responsibilities in these areas. Includes such employees as librarians, accountants, systems analysts, student personnel workers, counselors, and salesmen and recruiters.

Technical Employees: Individuals employed for the primary purpose of performing technical activities (activities pertaining to the mechanical or industrial arts or the applied sciences). This category includes only nonexempt employees.

Office/Clerical Employees: Individuals employed for the primary purpose of performing clerical activities. This category includes only nonexempt employees.

Crafts/Trades Employees: Individuals employed for the primary purpose of performing (manually) skilled activities in a craft or trade. Includes employees such as carpenters, plumbers, and electricians. Includes only nonexempt employees.

Service Employees: Individuals employed for the primary purpose of performing service (generally unskilled) activities. Includes such employees as custodians, groundskeepers, security guards, and food service workers. Includes only nonexempt employees.

Data Source: Chief Personnel Officer.

RESOURCE INFORMATION:
FACILITIES

Assignable Square Feet by Room Use Categories and Program Designation (Fall Term)
(All entries are recorded in thousands of square feet, e.g., 5.4 denotes 5,400.)

Activity Centers \ Room Use Categories	Classroom Facilities 100	Class Lab 210	Special Class Lab 220	Indiv. Study Laboratory 230	Nonclass Laboratory 250	Office Facilities 300	Study Facilities 400	Special Use Facilities 500	General Use Facilities 600	Support Facilities 700	Health Care Facilities 800	Residential Facilities 900	Unclassified Facilities 000	TOTALS
1.0 Instruction														
2.0 Research														
3.0 Public Service														
4.0 Academic Support														
5.0 Student Services														
6.0 Institutional Support														
7.0 Independent Operations														
0.0 Unassigned														
TOTALS														

The Number of Student Spaces Available in Institutional Housing (Fall Term): _____

The Number of Students Living in Institutional Housing (Fall Term): _____

INSTRUCTIONS AND DEFINITIONS (C.3)

General: Format C.3 is a summary table of assignable area by room use categories and program designations. Assignable square feet by individual activity centers should be maintained for the allocation of support costs during full costing. Instructions and definitions needed to complete the facilities format can be found in the Higher Education Facilities Inventory and Classification Manual, NCHEMS Technical Report No. 36 (Romney, 1972).

Assignable Area: The sum of all areas on all floors of a building assigned to, or available for assignment to, an occupant, includes every type of space functionally usable by the occupant. Assignable area should be expressed in assignable square feet (to the nearest thousand).

Room Use Categories: See the IEP Glossary for definitions of room use categories.

Number of Student Spaces Available in Institutional Housing: Indicate the total number of student spaces available in institutional housing as of the housing census date during the fall term. Count only regular occupancy spaces. Married student housing should be included, but each unit should count as one student space.

Number of Students Living in Institutional Housing: Indicate the total number of students living in institutional housing as of the housing census date during the fall term. Include students living in overcapacity space as well as regular capacity space. Include married students, but the count should be limited to one student per married student housing unit.

Unassigned: This activity center (0.0) appears as 8.0 in Technical Report No. 36.

Data Source: *Facilities Planning Officer.*
Student Housing Officer.

FINANCIAL INFORMATION:

DIRECT AND FULL COST SUMMARY

Activity Center	Direct Cost		Full Cost	
1.0 Instruction				
1.1 General Academic Instruction				
1.2 Occupational and Vocational Instruction				
1.3 Community Education				
1.4 Preparatory and Adult Basic Education				
Subtotal				
2.0 Research				
2.1 Institutes and Research Centers				
2.2 Individual or Project Research				
Subtotal				
3.0 Public Service				
3.1 Patient Services				
3.2 Community Services				
3.3 Cooperative Extension Services				
3.4 Public Broadcasting Services				
Subtotal				
4.0 Academic Support				
4.1 Libraries				
4.2 Museums and Galleries				
4.3 Audiovisual Services				
4.4 Computing Support				
4.5 Ancillary Support				
4.6 Academic Administration				
4.7 Course and Curriculum Development				
4.8 Academic Personnel Development				
Subtotal				

FINANCIAL INFORMATION:

DIRECT AND FULL COST SUMMARY (Cont'd.)

Activity Center	Direct Cost		Full Cost	
5.0 Student Service				
5.1 Student Service Administration				
5.2 Social and Cultural Development				
5.3 Counseling and Career Guidance				
5.4 Financial Aid Administration				
5.5 Student Auxiliary Services				
5.6 Intercollegiate Athletics				
Subtotal				
6.0 Institutional Support				
6.1 Executive Management				
6.2 Fiscal Operations				
6.3 General Administrative Services				
6.4 Logistical Services				
6.5 Physical Plant Operations				
6.6 Faculty and Staff Auxiliary Services				
6.7 Public Relations and Development				
6.8 Student Recruitment, Admissions and Records				
Subtotal				
7.0 Independent Operations				
7.1 Institutional Operations				
7.2 Outside Agencies				
Subtotal				
8.0 Scholarships and Fellowships				
8.1 Scholarships				
8.2 Fellowships				
Subtotal				
TOTAL				

INSTRUCTIONS AND DEFINITIONS (D.1)

General: The IEP cost study includes gross expenditures from the institution's current funds for the entire fiscal year. Costs are to be assigned to activity centers on the basis of function or use of funds regardless of their source.

Activity Center: Each of the activity centers are defined in the Information Exchange Procedures Activity Structure, NCHEMS Technical Report No. 63 (Myers and Topping, 1975).

Direct Costs for each activity center are defined as follows:

- Compensation
  - Salaries
  - Wages
  - Fringe Benefits (Social Security, retirement, medical insurance, life insurance, guaranteed disability income protection, unemployment compensation, workmen's compensation, and other benefits)
- Supplies and Services
  - Consumable supplies and materials
  - Communications (for example, telephone, telegraph, postal, printing, binding, and reproduction services)
- Travel
- Noncapital equipment (costing less than $500 or having an estimated life of less than two years)

Full Costs are basically a redistribution of direct costs plus a calculated capital cost for the use of buildings, land improvements, and capital equipment. Certain activity centers are designated as support activity centers (primarily those in programs 4.0, 5.0, and 6.0) and others are designated as final cost objectives (primarily those in programs 1.0, 2.0, and 3.0). Costs are then redistributed from the support activity centers to the final cost objectives. A few of the activity centers (7.1, 7.2, 8.1, and 8.2) do not participate in the allocation process and therefore the direct and full cost figures assigned to these activity centers will be identical. The grand totals for direct and full costs on the bottom of page D.1.2 should not be identical, however, because of the addition of capital costs in the full cost column.

Data Source: Generated in the Data Management Module of the NCHEMS Costing and Data Management System.

FINANCIAL INFORMATION:

INDIVIDUAL OR PROJECT RESEARCH

(Activity Center 2.2)

Code	Discipline Category	Direct Cost	Full Cost

INSTRUCTIONS AND DEFINITIONS (D.2)

General: Format D.2 provides a further breakdown of Individual or Project Research costs. The activity structure specifies that individual or project research should be identified to the discipline category level (to the first two digits only), for example, Physical Sciences (1900) rather than Physics (1902). The definitions for direct and full costs can be found opposite Format D.1. The totals of the direct and full cost columns should be identical to those figures listed for Individual or Project Research (2.2) in Format D.1.

Data Source: Generated in the Data Management Module of the NCHEMS Costing and Data Management System.

FINANCIAL INFORMATION:

COLUMNAR BALANCE SHEET
(In thousands of dollars)
As of Fiscal Year Ended _____, 19___

(In Thousands of Dollars)	Current Funds		Loan Funds	Endowment Similar Funds	Annuity & Life Income Funds	Plant Funds			
	Unrestricted	Restricted				Unexpended	Renewal & Replacement	Retirement of Indebtedness	Investment in Plant
Assets									
Cash									
Investments									
Accounts Receivable									
Inventories, Prepaid Expenses, etc.									
Notes Receivable									
Institutional Plant									
Interfund Borrowing - Due From									
Total Assets									
Liabilities									
Accounts Payable & Accrued Liability									
Student Deposits									
Deferred Revenues									
Notes Payable									
Contracts Payable									
Mortgages Payable									
Bonds Payable									
Interfund Borrowing - Due To									
Total Liabilities									
Fund Balances									
For Current Operations - Unrestricted									
For Current Operations - Restricted									
Board Designated Funds									
Restricted to Other Than Current Purposes									
Net Investment in Institutional Plant									
Total Fund Balances									
Total Liabilities & Fund Balances									

INSTRUCTIONS AND DEFINITIONS (D.3)

General: Instructions and definitions needed to complete the columnar balance sheet can be found in Chapter 5 of the Higher Education Finance Manual, NCHEMS Technical Report No. 69 (Collier, 1975).

Data Source: Chief Financial Officer.

FINANCIAL INFORMATION:

CURRENT REVENUES BY SOURCE

Year Ended June 30, 19__

Source of Funds	Unrestricted	Restricted	TOTALS
Tuition and Fees			
Governmental Appropriations			
Federal			
State			
Local			
Governmental Grants and Contracts			
Federal			
State			
Local			
Private Gifts, Grants, and Contracts			
Endowment Income			
Sales and Services of Educational Activities			
Sales and Services of Auxiliary Enterprises			
Sales and Services of Hospitals			
Independent Operations			
Other Sources			
TOTALS			

INSTRUCTIONS AND DEFINITIONS (D.4)

General: Definitions for current funds revenue categories can be found in Chapter 7 of the Higher Education Finance Manual, NCHEMS Technical Report No. 69 (Collier, 1975) or in the IEP Glossary.

Unrestricted Funds: Monies that may be used for any purpose deemed necessary by the institution's management. This category would include all designated funds (unrestricted funds that may be used only for those purposes designated by the institution's governing board).

Restricted Funds: Includes only those monies expended during the reporting period for a purpose specified by the donor as a precondition for their receipt by the institution.

Data Source: Chief Financial Officer.

FINANCIAL INFORMATION

CURRENT FUNDS SOURCE/USE FORMAT

(In thousands of dollars)

For Fiscal Year Ended _____, 19__

Source of Funds / Use of Funds (In thousands)		Unrestricted Funds		Restricted Funds										
				Governmental Appropriations			Governmental Grants & Contracts			Private Gifts, Grants & Contracts	Endowment Income	Other Sources	Transfers In	Total Funds Used (By Function)
		Undesignated	Designated	Federal	State	Local	Federal	State	Local					
Educational & General	Instruction													
	Research													
	Public Service													
	Academic Support													
	Student Services													
	Institutional Support													
	Operation and Maintenance of Plant													
	Scholarships and Fellowships													
	TOTAL - Educational and General													
Auxiliary Enterprises														
Hospitals														
Independent Operations														
Mandatory Transfers (Itemize if material)														
Total Funds Used (By Source)														

INSTRUCTIONS AND DEFINITIONS (D.5)

General: Instructions and definitions needed to complete the current funds source/use format can be found in Chapter 8 of the Higher Education Finance Manual, NCHEMS Technical Report No. 69 (Collier, 1975).

Data Source: Chief Financial Officer.

UNIT COST INFORMATION:
BY DISCIPLINE AND COURSE LEVEL

Activity Center Code	Discipline		Number of Semester Credit Hours	Number of Instructional Service Months	Semester Credit Hours per Instructional Service Month	Discipline Direct Cost	Direct Cost per Semester Credit Hour	Discipline Full Cost	Full Cost per Semester Credit Hour
	Name	Course Level							
58									

General: Unit cost information is calculated only for General Academic Instruction (1.1) and Occupational and Vocational Instruction (1.2). The HEGIS taxonomy is used to designate disciplines.

Course Levels:

Lower Division: Course offerings at a level of comprehension usually associated with freshmen and sophomore students.

Upper Division: Course offerings at a level of comprehension usually associated with junior and senior students. Jointly offered upper division/graduate courses should be classified as upper division.

Graduate: Course offerings at a level of comprehension usually associated with postbaccalaureate students.

Semester Credit (Hour): A unit of measure that represents one student engaged in an instructional activity for a semester for which one credit or fraction thereof is granted upon completion of the activity. The instructional activity may or may not provide credit toward a degree/diploma/certificate upon completion. Semester credit hours should be reported as of the institutional census date for each term included in the fiscal year. Quarter credit hours should be converted to semester credit hours by multiplying the total quarter credit hours by .667.

Instructional Service Month: An instructional activity measure that represents one faculty member (or other staff member) engaged full-time in teaching (or other instructional activities) for a time period of one month. Data regarding instructional service months should be collected for all individuals assigned teaching responsibilities and for all terms included in the fiscal year.

Semester Credit Hours per Instructional Service Month: This measure is calculated by dividing the number of semester credit hours taught within a particular discipline and course level by the instructional service months devoted to those teaching activities.

Discipline Direct Cost: Direct costs by discipline and course level are a further breakdown of the direct cost totals for General Academic Instruction (1.1) and Occupational and Vocational Instruction (1.2) displayed in Format D.1.

Direct Cost per Semester Credit Hour: This measure is calculated by dividing the direct cost of a particular discipline and course level by the semester credit hours taught within that discipline and level.

Discipline Full Cost: Full costs by discipline and course level are a further breakdown of the full cost totals for General Academic Instruction (1.1) and Occupational and Vocational Instruction (1.2) displayed in Format D.1.

Full Cost per Semester Credit Hour: This measure is calculated by dividing the full cost of a particular discipline and course level by the semester credit hours taught within that discipline and level.

Data Source: Generated in the Data Management Module of the NCHEMS Costing and Data Management System.

UNIT COST INFORMATION:
BY STUDENT PROGRAM AND STUDENT LEVEL

Student Program			Number of Student Program Credits	Student Program Direct Cost	Direct Cost per Student Program Credit	Student Program Full Cost	Full Cost per Student Program Credit
Code	Name	Student Level					

INSTRUCTIONS AND DEFINITIONS (E.2)

Student Program Code and Name: The HEGIS Taxonomy for disciplines is used also for designating student programs.

Student Level: For definitions of student levels, see Format B.2.

Student Program Credit: A measure that represents that average semester credit attempted in each student program and at each student level. This measure is obtained through the use of an Instructional Work Load Matrix (IWLM).

Student Program Direct Cost: The direct costs associated with a specific student program.

Direct Cost per Student Program Credit: A measure derived by dividing the direct cost of a program at a particular student level by the number of program credits attempted in that program and student level.

Student Program Full Cost: The full costs associated with a specific student program. This measure is obtained through the use of an IWLM.

Full Cost per Student Program Credit: A measure derived by dividing the full cost of a program at a particular student level by the number of program credits attempted in that program and student level.

Data Source: Generated in the Data Management Module of the NCHEMS Costing and Data Management System.

STUDENT OUTCOMES INFORMATION:
PROGRAM ENROLLMENTS AND COMPLETIONS

Student Program			Headcount Enrollment (Fall Term)	Program Completers (Fiscal Year)	Exiting Students (Noncompleters)				
						Student Status at Exit			
Code	Name	Degree Type			Total	In Good Standing	Acad. Drop/ Suspension	Other Drop/ Suspension	Unknown
62									

INSTRUCTIONS AND DEFINITIONS (F.1)

General: This format shows enrollment and completion data for the total institution and for each separately identifiable student (major) program within the institution.

Student Program refers to the course of study followed by a student. In IEP, the HEGIS Taxonomy is used as the reference for naming and coding student programs. The taxonomy is found in Information Exchange Procedures Activity Structure, NCHEMS Technical Report No. 63 (Myers and Topping, 1975).

Headcount Fall Enrollment is an unduplicated count of the number of students enrolled in each student program as of the institution's fall term census date. Enrollment figures are presented separately for each student program and degree type.

Program Completers (Fiscal Year) are those students who have met all institutional and course of study requirements for eligibility to be awarded a degree, diploma, or certificate by the institution. This definition includes all students who have received such awards during the fiscal year for which IEP data are being compiled. For some institutions, it may include also students who have met eligibility requirements but who have not completed the necessary administrative procedures to receive the award. Program completers are shown separately for each type of degree, diploma, or certificate awarded in the particular program.

Type of Degree, Diploma, or Certificate: The following are standard award categories for use in IEP.

Certificates and Diplomas (less than one year): An award for completion of any program covering a time span less than one academic year.

Certificates and Diplomas (equal to or more than one year): An award for completion of any program covering a time span between one academic year and two academic years.

Associate Degree (two years or more): A degree granted upon completion of an educational program less than baccalaureate level and requiring at least two but fewer than four academic years of college work.

Bachelor's Degree: Any earned academic degree carrying the title of Bachelor.

First Professional Degree: The first earned degree in a professional field. For the purposes of IEP, only the following degrees should be included: M.D.; D.O.; LL.B. or J.D. (if J.D. is the first professional degree); D.D.S.; D.V.M., O.D.; B.D., M.Div. or Rabbi; Pod.D. or P.M.

Master's Degree: Any earned academic degree carrying the title of Master. In some professional fields, this is an advanced professional degree beyond the first professional which carries master's designation, such as LL.M., M.S. (Master of Surgery).

Doctoral Degree: An earned academic degree carrying the title of Doctor. Not to be included are first professional degrees such as M.D. and D.D.S.

Not Elsewhere Designated: Includes all other categories of awards.

Exiting Students are those individuals (1) who were enrolled in the institution as of the fall term census date for the previous year, (2) who were not enrolled as of the fall term census date for the current year, and (3) who did not complete their program in the interim. Exiting students are shown separately by student program and degree type by student status at exit.

Student Status at Exit is of three types:

In Good Standing: The student left the institution voluntarily and is eligible for readmission.

Academic Drop or Suspension: The student was required to leave the institution for unsatisfactory academic performance.

Other Drop or Suspension: The student was required to leave the institution for some reason other than unsatisfactory academic performance (e.g., disciplinary suspension, failure to pay fees).

Data Source: Registrar.

STUDENT OUTCOMES INFORMATION:

OUTCOMES QUESTIONNAIRE FOR PROGRAM COMPLETERS

-Program Information Summary-

Program Name _____ Degree Type _____ Program Code _____

Number of Program Completers _____

Number of Questionnaires Distributed _____

Number of Respondents _____

Questionnaire Administration Date _____

Men _____

Women _____

Not Indicated _____

Civil Rights Category

American Indian or Alaska Native _____

Asian or Pacific Islander _____

Black/Negro _____

Hispanic _____

White, Other Than Hispanic _____

Not Indicated _____

I. Program Completion Measures

Number of Transfers (N*=) _____

Median Months to Program Completion (N*=) _____

Median Terms Enrolled (N*=)

Full-Time _____

Part-Time _____

Median Cumulative G.P.A. (N*=) _____

*Wherever it is used in this summary, N indicates the number of individuals who responded to that particular item on the questionnaire.

II. Occupational Plans and Activities

Number Not Intending to Seek Job _____

Number Intending to Seek Job in Next 6 Months _____

Number Now Seeking Job _____

Number Who Have Secured Job _____

Median Annual Salary (N*=) $_____

Job/Program Relation: None _____

Some _____

Direct _____

Not Indicated _____

Job Considered: Temporary _____

Possible Career Potential _____

Definite Career Potential _____

Other _____

Not Indicated _____

STUDENT OUTCOMES INFORMATION:

OUTCOMES QUESTIONNAIRE FOR PROGRAM COMPLETERS

-Program Information Summary-
(Continued)

III. Educational Plans and Activities

Number Not Intending to Apply Within One Year for a Further Degree _____

Number Intending to Apply Within One Year _____

Number Who Have Already Applied _____

Number Who Have Been Admitted _____

Number Awaiting Decision _____

Not Indicated _____

Highest Degree Aspirations

Certificate _____

Diploma _____

Associate Degree _____

Bachelor's Degree _____

Master's Degree _____

Professional Degree _____

Doctorate _____

Other _____

Undecided _____

Not Indicated _____

IV. Student Perceptions of Growth

Student perceptions of the institution's contribution to progress and the importance of that progress in six areas of potential growth.

Growth Area	Institution's Contribution to Progress						Importance of That Progress					
	Frequency Count					Mean*	Frequency Count					Mean*
	None	Little	Moderate	Much	Very Much		None	Little	Moderate	Much	Very Much	
A. Intellectual												
B. Social												
C. Aesthetic/Cultural												
D. Educational												
E. Vocational/Professional												
F. Personal												

*The mean for each growth area is based on values of 1, 2, 3, 4, and 5 assigned to the responses "None," "Little," "Moderate," "Much," and "Very Much," respectively.

INSTRUCTIONS AND DEFINITIONS (F.2)

General: This format shows student outcomes information for the total institution and for each separately identifiable student (major) program within the institution by degree type. This information is derived from the Student Outcomes Questionnaire for Program Completers. A full discussion of the questionnaire and procedures for its administration is found in Information Exchange Procedures Outcome Study Procedures, Technical Report No. 66 (Byers, 1975). It is intended that the questionnaire be administered to all program completers (as defined on the page facing Format F.1) in each term in which degrees are awarded. If the institut on chooses to administer the questionnaire only once during the year, it is recommended that the term selected be the one in which the largest number of program completers usually occurs (probably the spring term). Most of the information contained in this format is self-explanatory or is readily understood by reference to the questionnaire itself. The following definitions are presented here for convenience and clarification.

Program Name, Degree Type, and Program Code are taken from items 7.A and 7.B of the Student Outcomes Questionnaire.

Number of Program Completers is given for all terms covered by this information summary.

Questionnaire Administration Date should include the month and year for each administration of the questionnaire covered by this information summary.

Civil Rights Category definitions appear on the page facing Format B.1.

Program Completion Measures are taken from questions 8, 9, 10, and 11 of the student questionnaire.

Occupational Plans and Activities information is taken from responses to questionnaire items 12, 14, 15, and 16.

Educational Plans and Activities information is taken from responses to questionnaire items 18, 20, 21, and 22.

Student Perceptions of Growth information is taken from responses to questionnaire items 23 and 24.

Student Growth Areas are described on the questionnaire as follows:

Intellectual Growth: Your ability to understand and use concepts and principles from several broad areas of learning.

Social Growth: Your understanding of other people and their views; your experience in relating to others.

Aesthetic and Cultural Growth: Your awareness and appreciation of the literature, music, art, and drama of your own culture and of others.

Educational Growth: Your understanding of a particular field of knowledge; your preparation for further education.

Vocational and Professional Growth: Your preparation for employment in a particular vocational or professional area.

Personal Growth: Your development of attitudes, values, beliefs, and a particular philosophy of life; your understanding and acceptance of yourself as a person; your ability to be realistic and adaptable and to make decisions about your own future.

Data Source: Student Outcomes Module.

APPENDIX B

INSTRUCTIONAL WORK LOAD MATRIX

INSTRUCTIONAL WORK LOAD MATRIX

The NCHEMS Instructional Work Load Matrix (IWLM) is an analytic approach to describing the instructional load placed by students upon each teaching discipline in an institution. The matrix shown in Figure 2 shows the number of credit hours in each discipline taken by all students enrolled in each of the degree programs of the institution. For example, all students enrolled as History majors have taken 610 credit hours (or 38 percent of their course load) in the Business discipline, and 430 credit hours in the English discipline.

The Information Exchange Procedures project definitions state that in the IWLM the dimension labeled "PROGRAMS" the instructional degree or certificate programs for the institution should be used. Likewise, the "DISCIPLINES" dimension should include those organizational units on campus that provide instruction in HEGIS discipline areas. The definitions require that disciplines and programs be broken down further into course levels and student levels (for example, lower division and upper division). Also, the numeric relationship between the programs and disciplines should be represented in semester credit hour equivalents.

IWLM is a general concept that is the foundation of the Center's products. An IWLM can be developed for purposes other than IEP, in which case the definitions necessary for IEP might not apply. The "PROGRAM" dimension, for example, might represent another grouping of students. The IWLM would then

show the different course "consumption" patterns for each grouping. Different student groupings might include full/part-time students, day/night students, male/female students, resident/nonresident students, and so forth.

An Induced Course Load Matrix (ICLM) shows the course work taken by the average student in each major or program. It is produced by dividing each column (program) of an IWLM by the number of students enrolled in that major, as shown in Figure 3. For example, the 610 credit hours taken by History major students from the Business discipline would be 6.1 credit hours on the average, if 100 students are enrolled in the History program. Similarly, the History majors would take 4.3 credit hours on the average from the English discipline, 2.6 credit hours from the Botany discipline, and 3.0 credit hours from the Physics discipline.

For IEP the enrollment should be the full-time equivalent (FTE) enrollment for the program.

Figure 2

INSTRUCTIONAL WORK LOAD MATRIX

DISCIPLINE	PROGRAMS				
	HISTORY	ENGLISH	BIOLOGY	UNDECIDED	TOTAL
BUSINESS	610	320	240	420	1,590
ENGLISH	430	455	217	522	1,625
BOTANY	260	570	385	210	1,425
PHYSICS	300	160	575	359	1,394
TOTAL	1,600	1,505	1,417	1,512	6,034

Constructing an IWLM

Creating an Instructional Work Load Matrix (IWLM) requires a tabulation of the course work taken by each student enrolled. The tabulation usually is done with assistance from a computer because of the large volume of data necessary to describe the course work for all students.

NCHEMS has computer software available to produce an IWLM or IWLM. This software, the Student Data Module (SDM) of the NCHEMS Costing and Data Management System, requires an input data record for each student enrolled in each course for the time period being studied (such as term or academic year). The software runs on a medium-sized computer and produces reports showing the IWLM/ICLM data in absolute values and as percentages of totals. The SDM software also formats the student data for use in other NCHEMS software packages for historical or predictive cost studies. Further information on the Student Data Module is available in: Introduction to the NCHEMS Costing and Data Management System (Technical Report No. 55), and the Student Data Module Reference Manual (Technical Report No. 60).

The student registration data shown in Figure 4 represent the key elements necessary for construction of an IWLM. For each course taken by each student, the course abbreviation and number are used to determine the IWLM discipline. Sue Kay, for example, is taking Biology 104, which is an undergraduate course (numbered 0 to 299) in Biology. She is enrolled as an undergraduate Biochemsitry major. The 3 credit hours (semester credits) she receives for taking the course are tabulated in the IWLM cell that represents a DISCIPLINE of undergraduate Biology (A) and a PROGRAM of undergraduate Biochemistry (B). This same procedure is followed to accumulate the entries in the matrix shown in Figure 5.

Figure 4

SELECTED STUDENT REGISTRATION RECORDS

STUDENT ID	STUDENT NAME	COURSE NUMBER	MAJOR	STUDENT LEVEL	SEMESTER CREDITS	IWLM DISCIPLINE	IWLM PROGRAM
723-31-8133	Sue Kay	BIO 104	Biochem	UG	3	UG Biology	Biochem UG
720-33-8122	Robert Allen	BIO 112	Psychology	UG	3	UG Biology	Psych. UG
649-29-7111	Mary Smith	ENG 210	English	GR	3	UG English	English GR
743-31-7981	Arnold Black	MATH 256	English	GR	3	UG Math	English GR
711-34-6122	Michael Lee	CHEM 400	Biochem	UG	5	GR Chem	Biochem UG
731-36-8644	Robert Trent	BIO 104	Psychology	UG	3	UG Biology	Psych. UG

NOTE: Undergraduate courses carry numbers from 0 through 299.

Graduate courses carry numbers from 300 through 499.

Figure 5

INSTRUCTIONAL WORK LOAD MATRIX

DEGREE PROGRAMS

DISCIPLINES (A) \ (B)	Biochemist. Undergrad. PRG.0414.20	Biochemist. Graduate PRG.0414.30	English Undergrad. PRG.1501.20	English Graduate PRG.1501.30	Psychology Undergrad. PRG.2001.20	Psychology Graduate PRG.2001.30
UG Biology	3				6	
GR Biology						
UG English				3		
GR English						
UG Math				3		
GR Math						
UG Chemistry						
GR Chemistry	3					

APPENDIX C

INFORMATION EXCHANGE PROCEDURES
GLOSSARY

ACADEMIC DROP OR SUSPENSION--See STUDENT STATUS AT EXIT.

ACADEMIC TERM--Refers to any discrete period of time in which course work is offered by the institution and for which students seek enrollment.

ACADEMIC YEAR--The institutionally defined consecutive period of time used as a reference for record keeping related to student programs, faculty participation and employment, student attendance, and other matters related to academic affairs. An academic year may be equivalent to a fiscal year or may include only a subset of the sessions during which course work is offered. Typically an academic year is equated to two semesters, three quarters, two trimesters, or the period of time covered by the 4-1-4 plan.

ACCOUNT CROSSOVER MODULE (ACM)--See NCHEMS COSTING AND DATA MANAGEMENT SYSTEM.

ACTIVITY CENTER--A specified level of detail within the Program Classification Structure used for purposes of data collection and reporting in postsecondary education institutions.

ACT SCORES--See TEST SCORES.

ADMINISTRATIVE/SUPPORT PROFESSIONALS COMPENSATION--See OBJECT OF EXPENDITURE.

AGENCY FUNDS--See FUND GROUP CATEGORIES.

ALLOCATION PARAMETER--Institutional data (either financial or nonfinancial) that serves as a measure for actual or potential resource use in the allocation of support costs to final cost objectives.

AMERICAN INDIAN OR ALASKA NATIVE--See CIVIL RIGHTS CATEGORY.

ANNUITY AND LIFE INCOME FUNDS--See FUND GROUP CATEGORIES.

ASIAN OR PACIFIC ISLANDER--See CIVIL RIGHTS CATEGORY.

ASSIGNABLE AREA--The sum of all areas on all floors of a building assigned to, or available for assignment to an occupant, including every type of space functionally usable by an occupant (excepting those spaces defined as custodial, circulation, mechanical, and structural areas). Assignable area should be measured in assignable square feet (reported to the nearest thousand).

ASSOCIATE DEGREE--See DEGREE/DIPLOMA/CERTIFICATE.

AUXILIARY ENTERPRISE EXPENDITURES--See CURRENT FUNDS EXPENDITURE CATEGORIES.

AVERAGE FULL-TIME SALARY--The average gross salary (excluding fringe benefits) paid to full-time Instruction/Research Professionals for a nine month period of time. Gross salaries for 11-12 months of actual service (normally 11 months teaching plus one month vacation) should be reduced using a conversion factor of 9/11 (81.8 percent). Equivalent conversions should be used for other lengths of contract. Average full-time salary should be reported for each academic rank.

AVERAGE FULL-TIME COMPENSATION--The average gross salary plus fringe benefits paid to or on behalf of full-time Instruction/Research Professionals for a nine month period of time. Fringe benefits include the institution's contribution to Social Security, retirement, medical insurance, life insurance, guaranteed disability income protection, unemployment compensation, workmen's compensation, cash tuition for faculty children, cash housing benefits, and other benefits in kind with cash options.

BACHELOR'S DEGREE--See DEGREE/DIPLOMA/CERTIFICATE.

BLACK/NEGRO--See CIVIL RIGHTS CATEGORY.

BUILDING--See CAPITAL ASSET.

CALENDAR SYSTEM--See PREDOMINANT CALENDAR SYSTEM.

CAPITAL ASSET--Any physical resource that benefits the institution, a program, course of study, or activity for more than one operating period. The following categories are recommended for IEP:

1. LAND--Unimproved real estate.

2. LAND IMPROVEMENT--A real estate improvement other than a building (a street, sidewalk, outside lighting, etc.)

3. BUILDING--A facility permanently affixed to the land. This would include associated fixed and mechanical equipment (heating and air-conditioning systems, plumbing and sewer systems, etc.).

4. CAPITAL EQUIPMENT--An item of movable property (not permanently attached to a structure) that has an acquisition cost of $500 or more and an expected life exceeding two years.

CAPITAL COSTS--The valuation placed upon the services provided by land improvements, buildings, and capital equipment (both owned and leased) used by the institution during any time period. If the capital assets are owned by the institution, the annual capital cost is defined as the current depreciation of the asset. If the capital assets are leased, the annual capital costs are equivalent to the total rental expenditures.

1. LAND IMPROVEMENT--The cost of real estate improvements other than buildings.

2. BUILDING--The original acquisition cost of the building plus the cost of any subsequent additions and/or renovations (i.e., parts added that enlarge or expand the building and/or significantly alter its function).

3. CAPITAL EQUIPMENT--The cost of movable property having an acquisition cost of $500 or more and an expected service life that exceeds two years.

NOTE: For purposes of IEP, a valuation is not placed on land, whether owned or leased.

CAPITAL EQUIPMENT--See CAPITAL ASSET.

CAPITAL EXPENDITURES--See OBJECT OF EXPENDITURE.

CENSUS DATE--The designated day in an academic term, after most drops/adds have been completed, when the institution takes official enrollment counts (typically sometime between the second and fourth week of classes).

CERTIFICATE--See DEGREE/DIPLOMA/CERTIFICATE.

CHARGEBACKS--Refers to certain types of expenses that are "charged back" to the using department within an institution by the activity center performing the service. Typical examples of these expenses are: library services, audiovisual services, academic computing services, administrative data processing, and utilities.

CIVIL RIGHTS CATEGORY--Definitions of civil rights categories do not correspond to strict scientific definitions, but rather to self-reported designations. The following categories and definitions are those developed by the Federal Interagency Committee on Education (FICE). While these categories are still tentative, they represent the most timely and substantive contribution to a revision to civil rights categorizations.

1. AMERICAN INDIAN OR ALASKA NATIVE--A person having origins in any of the original peoples of North America.

2. ASIAN OR PACIFIC ISLANDER--A person having origins in any of the original peoples of the Far East, Southeast Asia, or the Pacific Islands. This area includes, for example, China, Japan, Korea, the Philippine Islands, and Samoa.

3. BLACK/NEGRO--A person having origins in any of the original peoples of sub-Sahara Africa.

CIVIL RIGHTS CATEGORY (Continued)

4. HISPANIC--A person of Mexican, Puerto Rican, Cuban, Central or South American, or other Spanish culture or origin, regardless of race.

5. WHITE, OTHER THAN HISPANIC--A person having origins in any of the original peoples of Europe, North Africa, the Middle East, or the Indian subcontinent.

CLASS LABORATORY FACILITY--See ROOM USE CATEGORIES.

CLASSROOM FACILITY--See ROOM USE CATEGORIES.

COLLECTIVE BARGAINING AGREEMENT--The agreement reached between an employer and the union or employee organization representing his employees which enbodies the terms and conditions of employment agreed upon in collective bargaining. Ordinarily the agreement is written and is effective for a definite period.

COMPENSATION--See DIRECT COSTS.

CONTINUING STUDENT--See ENROLLMENT STATUS.

CONTRIBUTED SERVICES--Services rendered to an institution for which little or no compensation is paid. The value of contributed services is the full fair market value of the service less any payment received.

COURSE LEVEL--The institutional categorization for the level of offering of a specific course; the categorization is generally derived from the level of student to which any particular course offering within a discipline is primarily directed. Multiple-level courses should be assigned a course level that most represents primary intent of the course. For IEP three course levels are specified within each discipline:

1. LOWER DIVISION--Course offerings at a level of comprehension usually associated with freshmen and sophomore students.

2. UPPER DIVISION--Course offerings at a level of comprehension usually associated with junior and senior students. Jointly offered upper-division/graduate courses should be classified as upper division.

3. GRADUATE--Course offerings at a level of comprehension usually associated with postbaccalaureate students.

CRAFTS/TRADES EMPLOYEES--See MANPOWER RESOURCE CATEGORIES.

CURRENT FUNDS--See FUND GROUP CATEGORIES.

CURRENT FUNDS EXPENDITURE CATEGORIES--The expenditures incurred for goods and services used in the conduct of an institution's operations. The following categories and subcategories are recommended for financial reporting:

1. EDUCATIONAL AND GENERAL EXPENDITURES

   a. Instruction--Expenditures for credit and noncredit instructional activities (general academic instruction, occupational and vocational instruction, special session instruction, community education, preparatory and adult basic education, etc.).

   b. Research--Expenditures for activities specifically organized to produce research outcomes and commissioned by an agency either external to the institution or separately budgeted by an organizational unit within the institution (institutes and research centers, individual or project research, etc.).

   c. Public Service--Expenditures for activities established primarily to provide noninstructional services beneficial to groups external to the institution (community service, cooperative extension service, etc.).

   d. Academic Support--Expenditures for activities carried out primarily to provide support services that are an integral part of the operations of the instruction, research, and/or public service programs of the institution (libraries, museums and galleries, audiovisual services, computing support, ancillary support, academic administration and personnel development, course and curriculum development, etc.).

   e. Student Services--Expenditures for admissions, registrar activities, and activities whose primary purpose is to contribute to the students' emotional and physical well-being and to their intellectual, cultural, and social development outside the context of the formal instruction program (social and cultural development, counseling and career guidance, financial aid administration, student admissions and records, student health services, etc.).

   f. Institutional Support--Expenditures for activities whose major purpose is to provide operational support for the day-to-day functioning of the institution, with the exception of expenditures for physical plant operations (executive management, fiscal operations, general administrative services, logistical services, community relations, etc.).

CURRENT FUNDS EXPENDITURE CATEGORIES (Continued)

g. Operation and Maintenance of Plant--Expenditures for the operation and maintenance of physical plant, net of amounts charged to auxiliary enterprises and hospitals (for operations established to provide services and maintenance related to campus grounds and facilities, including utilities, property insurance, etc.).

h. Scholarships and Fellowships--Monies given in the form of outright grants and trainee stipends to individuals enrolled in formal credit or noncredit course work (scholarships [outright grants in aid, trainee stipends, and prizes to undergraduate students] and fellowships [outright grants in aid and trainee stipends to graduate students]).

2. AUXILIARY ENTERPRISE EXPENDITURES--All costs, except depreciation, of operating the institution's auxiliary enterprises, including charges for physical plant operations and general institutional support and other direct costs and indirect costs (e.g., faculty/staff parking, faculty housing, student health services, and intercollegiate athletics when operated as auxiliary enterprises).

3. HOSPITAL EXPENDITURES--Expenditures associated with the operation of the hospital (e.g., nursing expenses, other professional services, general services, administrative services, fiscal services, and charges for physical plant operations).

4. INDEPENDENT OPERATIONS EXPENDITURES--Expenditures for those operations that are independent of, or unrelated to, the primary missions of the institution (i.e., instruction, research, public service) although they may indirectly contribute to the enhancement of these programs (e.g., major federally funded research laboratories).

A crossover will be required to report transactional current funds expenditure data in the Program Classification Structure (Gulko, 1972).

CURRENT FUNDS MANDATORY TRANSFER CATEGORIES--Include all transfers from current funds that must be made to other fund groups in order to fulfill binding legal obligations of the institution. The following categories are recommended:

1. PROVISIONS FOR DEBT SERVICE--Amounts set aside for debt retirement and interest, and to meet the required provisions for renewals and replacements to the extent not financed from other sources.

2. LOAN FUNDS MATCHING GRANTS--Transfers to loan funds as required to match outside gifts or grants, usually from the United States Government, unless financed from other sources.

CURRENT FUNDS REVENUES CATEGORIES--Standard categories that describe all unrestricted funds accepted during the reporting period plus those restricted funds that were expended for operating purposes during the reporting period. The following categories are recommended for financial reporting:

1. TUITION AND FEES--All tuition and fees assessed (net of refunds) against students for current operating purposes.

   The value of all tuition and fees remissions, exemptions, or waivers should be calculated and reported as revenue even though there is no intention of collecting them from the student. Fees assessed for student health services that are operated as a service to the student body rather than as an auxiliary enterprise would be included in this category.

2. GOVERNMENT APPROPRIATIONS--All unrestricted appropriations and restricted appropriations to the extent expended for current operations, including scholarships and fellowships received from or made available to the institution through acts of a legislative body, exclusive of government grants and contracts.

   The following funder-level subcategories are recommended:

   a. Federal
   b. State
   c. Local

3. GOVERNMENT GRANTS AND CONTRACTS--All revenues from government agencies that are received or made available for specific projects or programs.

   The following funder-level subcategories are recommended:

   a. Federal
   b. State
   c. Local

4. PRIVATE GIFTS, GRANTS, AND CONTRACTS--All revenues from nongovernmental organizations or individuals, including monies resulting from the purchase of goods or services by nongovernmental entities on a contractual basis.

   Unrestricted gifts, grants, and bequests, as well as restricted gifts and grants to the extent they were expended for current operations, including scholarships and fellowships. Income from funds held in revocable trusts or distributable at the discretion of the trustees of such trusts should be reported under this classification. Monies received as a result of gifts, grants, or contracts from a foreign government would be included in this category. When the performance of contributed services is significant for an institution, the value of these services should be included in this category.

CURRENT FUNDS REVENUES CATEGORIES (Continued)

Revenues derived from contracts for activities not related to the primary missions of the institution (i.e., instruction, research, public service) would not be included in this category.

5. ENDOWMENT INCOME--All unrestricted income of endowment and similar funds, restricted income of endowment and similar funds to the extent expended for current operating purposes, and income from funds held in trust by others under irrevocable trusts.

   The unrestricted income from endowment funds and other similar funds credited to revenues should be the total ordinary income earned (or yield) on the investments of these funds.

6. SALES AND SERVICES OF EDUCATIONAL ACTIVITIES--Includes sales and services revenues of an activity that is incidental to the primary missions of the institution (i.e., instruction, research, public service).

   For revenue reporting purposes, the type of service rendered takes precedence over the form of the agreement by which those services are rendered. Therefore, no revenues of educational departments would be included as private gifts, grants, and contracts, even if they are performed under contract. Film rentals, scientific and literary publications, and testing services are examples of such revenues.

   Also included in this category are the revenues from activities that exist to provide an instructional or laboratory experience for students and that incidentally create goods or services that may be sold to students, faculty, and staff, or to the general public, such as dairy creameries, food technology divisions, and so forth. If service to the students, rather than training and instruction, is the primary purpose of the activities, the revenue should be classified as sales and services of auxiliary enterprises.

7. SALES AND SERVICES OF AUXILIARY ENTERPRISES--Includes monies derived directly from the operation of an auxiliary enterprise.

   This category does not include revenues received in the form of grants, gifts, or endowment income restricted for auxiliary enterprises but is limited to monies derived directly from the operation of the auxiliary enterprises themselves.

8. SALES AND SERVICES OF HOSPITALS--Includes monies derived directly from (net of discounts, allowances, and provisions for doubtful accounts) a hospital operated by the institution.

   Included in this figure would be revenues from daily patient services (medical, surgical, pediatrics, intensive care, etc.), nursing services (operating room, recovery room, etc.), and other services (laboratories, blood bank, etc.). Revenues of health clinics that are part of the hospital should be included in this subcategory. Revenue from research and other grants, gifts, appropriations, and endowment income restricted for hospital operations is not included in this subcategory.

CURRENT FUNDS REVENUES CATEGORIES (Continued)

9. INDEPENDENT OPERATIONS--All revenues associated with those operations that are independent of or unrelated to the primary missions of the institution (i.e., instruction, research, public service) although they may indirectly contribute to the enhancement of these programs.

   This category includes revenues associated with major federally funded research laboratories (Atomic Energy Commission, Jet Propulsion Labs, etc.), and other operations not considered an integral part of the institution's educational or auxiliary enterprise operations. This category does not include the net profit (or loss) from operations owned and managed as investments of the institution's endowment and similar funds group.

10. OTHER SOURCES--All items of revenue not covered elsewhere.

    This category includes revenue resulting from interest income and gains (net of losses) from investments of unrestricted current funds, revenues resulting from the sales and services of internal service departments to persons or agencies external to the institution, monies derived from expired term endowment agreements and expired annuity and life income agreements, etc.

DATA MANAGEMENT MODULE (DMM)--See NCHEMS COSTING AND DATA MANAGEMENT SYSTEM.

DEGREE/DIPLOMA/CERTIFICATE--An award or title conferred upon an individual for the completion of a program or courses of study. Honorary degrees/diplomas/certificates awarded to individuals in recognition of public service and/or distinguished career related endeavors are <u>not</u> to be included in the count of program completers. The following categories are recommended:

1. CERTIFICATE OR DIPLOMA (LESS THAN ONE YEAR)--An award for the successful completion of a course of study or program offered by a postsecondary education institution that covers any time span less than one academic year.

2. CERTIFICATE OR DIPLOMA (ONE YEAR OR MORE)--An award for the successful completion of a program offered by a postsecondary education institution that covers any time span between one academic year and two academic years.

3. ASSOCIATE DEGREE (TWO YEARS OR MORE)--The degree granted upon completion of an education program less than baccalaureate level, requiring at least two but less than four academic years of college work.

4. BACHELOR'S DEGREE--Any earned academic degree carrying the title of Bachelor.

DEGREE/DIPLOMA/CERTIFICATE (Continued)

5. FIRST PROFESSIONAL DEGREE--The first earned degree in a professional field. The following degrees should be included:

   a. Dentistry (D.D.S. or D.M.D.)
   b. Law, General (LL.B. or J.D., if J.D. is the first professional degree)
   c. Medicine (M.D.)
   d. Optometry (O.D.)
   e. Ostheopathic Medicine (D.O.)
   f. Podiatry (Pod.D., D.P., or P.M.)
   g. Theological Professionals, General (B.D., M.Div., Rabbi)
   h. Veterinary Medicine (D.V.M.)

6. MASTER'S DEGREE--Any earned academic degree carrying the title of Master. In liberal arts and sciences, the degree is customarily granted upon successful completion of one or two academic years of work beyond the bachelor's level. In professional fields, it is an advanced professional degree carrying the master's designation (e.g., LL.M. [Master of Laws], M.S. [Master of Surgery], M.S.W. [Master of Social Work]) earned after the first professional degree.

7. DOCTORAL DEGREE--An earned academic degree carrying the title of Doctor. Not to be included are first professional degrees such as M.D., D.D.S.

8. OTHER--Includes all other categories of earned degrees/diplomas/certificates, such as specialist degrees for work completed toward a certificate (e.g., Educational Specialist).

DEGREE/DIPLOMA/CERTIFICATE PROGRAM COMPLETERS--Those students who have met all institutional and course of study requirements for eligibility to be awarded a degree, diploma, or certificate by the institution. This definition includes all students who have received such awards during the fiscal year for which IEP data are being compiled. For some institutions, it may include also students who have met eligibility requirements but who have not completed the necessary administrative procedures to receive the award. Program completers are shown separately for each type of degree, diploma, or certificate awarded in the particular program.

DEGREE/DIPLOMA/CERTIFICATE PROGRAM NONCOMPLETERS--A degree/diploma/certificate program student who leaves the institution prior to completing his/her program.

DEGREE/DIPLOMA/CERTIFICATE STUDENT--See STUDENT STATUS.

DEPRECIATION--The process of apportioning the cost or other basic value of an asset, less salvage value (if any), over the estimated useful life of the asset in a systematic and rational manner.

DEPRECIATION RATE--A percentage that when applied to the cost of a capital asset will yield the depreciation expense for a year.

DIPLOMA--See DEGREE/DIPLOMA/CERTIFICATE.

DIRECT COSTS--Any cost that can be specifically identified with a particular activity center. For the purposes of Information Exchange Procedures, the following costs have been identified as direct costs:

COMPENSATION--The total amount of dollars, including both gross salaries and fringe benefits, paid directly to, or on behalf of, personnel. The following categories of compensation are recommended for IEP:

1. SALARY AND WAGES--The gross dollars paid to an employee excluding any fringe benefits.

2. FRINGE BENEFITS--Includes all benefits paid and accruing to an employee, regardless of whether the benefits or equivalent cash options are available to all.

   The following is a list of the recommended subcategories:

   a. Social Security--If covered by Social Security, includes appropriate FICA tax. If covered by an alternative plan such as Colorado's Public Employees' Retirement Association (PERA), includes the appropriate payments.

   b. Retirement--Includes all contributions made to a retirement fund regardless of vesting requirements. Payments made by an individual employee to a personal annuity or living trust are not to be included as retirement fringe benefits.

   c. Medical Insurance--Includes payments made to provide medical insurance.

   d. Life Insurance--Includes payments made to provide life insurance.

   e. Guaranteed Disability Income Protection--Includes contributions, through insurance or otherwise, for prolonged disability income payments, providing such payments do not arise from the accumulation of unused annual sick leave benefits.

   f. Unemployment Compensation--Includes payments to be made under the Unemployment Compensation Act.

   g. Workmen's Compensation--Includes payments to be made under the Workmen's Compensation Act.

DIRECT COSTS (Continued)

h. Other Benefits--Includes all benefit payments not elsewhere classified. Included would be such things as tuition and housing benefits (e.g., tuition waivers for family members). Benefits of a professional nature (such as convention travel, membership fees, grading assistance, faculty clubs, etc.) should be included as a part of the supplies and services of the appropriate activity center.

SUPPLIES AND SERVICES

1. SUPPLIES--Consumable instructional, research, and office supplies and materials.

2. COMMUNICATIONS--Telephone, telegraph, postal, printing, binding, and reproduction services.

3. TRAVEL--Transportation, food, lodging, and miscellaneous expenses reimbursed to an employee when he/she is representing or conducting business for the institution.

4. OTHER CONTRACTUAL SERVICES--All other services produced from outside sources that can be directly identified with a particular activity center.

5. NONCAPITAL EQUIPMENT--Those items of property that have an acquisition cost of less than $500 or an expected service life of less than two years.

The institution also may have direct costs that are not recorded in its accounting system. Some of these may be:

1. EXPENDITURES MADE BY ANOTHER STATE AGENCY--Expenditures made by a state agency that should be considered and included as direct costs of the institution. Retirement benefits paid for all state employees, a state purchasing agency, and a state transportation pool are examples of such expenditures.

2. EXPENDITURES MADE BY A CENTRAL ADMINISTRATION--Any services provided by a central administrative function must be allocated to the individual campuses before direct costs are calculated if the institution is part of a statewide system.

3. CONTRIBUTED SERVICES--Services rendered to an institution for which little or no compensation is paid. The value of contributed services is the full fair market value of the service less any payment received.

DISCIPLINE--Generally, a branch of knowledge or teaching. Discipline partially denotes activity centers that produce instruction, organized research, or public service outcomes. In some cases, "discipline" may be synonymous with "department." Disciplines are categorized according to the standard taxonomy of fields of study used in the Higher Education General Information Survey (HEGIS) published by the National Center for Educational Statistics under the title A Taxonomy of Instructional Programs in Higher Education (Huff and Chandler, 1970).

DOCTORAL DEGREE--See DEGREE/DIPLOMA/CERTIFICATE.

DONATED SERVICES--See CONTRIBUTED SERVICES.

DROP OR SUSPENSION--See STUDENT STATUS AT EXIT.

EDUCATIONAL AND GENERAL EXPENDITURES--See CURRENT FUNDS EXPENDITURE CATEGORIES.

EMPLOYEE--Any individual being compensated by the institution for services rendered. Included are individuals who donate their services, if the services performed are a normal part of the institution's programs or supporting services and would otherwise be performed by compensated personnel. Specifically excluded are employees of firms providing services to the institution on a contract basis.

ENDOWMENT AND SIMILAR FUNDS--See FUND GROUP CATEGORIES.

ENDOWMENT INCOME--See CURRENT FUNDS REVENUES CATEGORIES.

ENROLLMENT STATUS

1. NEW UNDERGRADUATE STUDENT--A student entering the institution for the first time with less than one semester of academic credit earned at another institution that is applicable for credit at the institution of current enrollment; also included is a student who has earned any amount of credit solely by means of the College Level Examination Program or similar academic exemption test.

2. NEW GRADUATE STUDENT--A student entering the institution classified as a graduate level student for the first time (a student who attended the institution as an undergraduate will still be classified as a new graduate student when first admitted at this level).

3. TRANSFER STUDENT--A student entering the institution for the first time with one semester or more of academic credit earned at another institution that is applicable for credit at the institution of current enrollment.

4. CONTINUING STUDENT--A currently enrolled student who was enrolled also during the previous academic term at the institution. Disregard summer session or other special sessions not considered to be part of the academic year.

5. READMITTED STUDENT--A currently enrolled student who was enrolled previously at the institution, but who was not enrolled during the academic term immediately preceding the current term. Disregard summer session or other special sessions not considered to be part of the academic year.

EQUIPMENT--

1. CAPITAL EQUIPMENT--See CAPITAL ASSET.

2. NONCAPITAL EQUIPMENT--See DIRECT COSTS--SUPPLIES AND SERVICES.

ETHNIC STATUS--See CIVIL RIGHTS CATEGORY.

EXECUTIVE/ADMINISTRATIVE/MANAGERIAL PROFESSIONALS--See MANPOWER RESOURCE CATEGORIES.

EXEMPT EMPLOYEE--An employee whose conditions of employment and compensation are not subject to the provisions of the Fair Labor Standards Act as amended. Exempt employees are not eligible for overtime payment. According to Section 13 of the act, an exempt employee is "any employee employed in a bona fide executive, administrative, or professional capacity...."

EXPENDITURES--See CURRENT FUNDS EXPENDITURE CATEGORIES.

EXITING STUDENTS--Those individuals (1) who were enrolled in the institution as of the fall term census date for the previous year, (2) who were not enrolled as of the fall term census date for the current year, and (3) who did not complete their program in the interim. Exiting students are shown separately by student program and degree type and by student status at exit.

EXITING STUDENT STATUS--See STUDENT STATUS AT EXIT.

FACULTY ACTIVITY ANALYSIS (FAA)--A process by which activities of faculty are analyzed to determine relative distribution of faculty time or effort to different priorities. The following faculty activity classification scheme (see Faculty Activity Analysis: Procedures Manual [Manning and Romney, 1973]) is suggested, since it provides a comprehensive set of faculty activity categories by which faculty assignments can be related to a reporting unit's programs and activities. The faculty activity categories are:

1. TEACHING ACTIVITIES

   a. Scheduled Teaching--All teaching activity that is directly related to courses of study.

      These courses may be degree or nondegree related, credit or noncredit, day or evening, part of the regularly assigned teaching program or overload teaching for night school.

   b. Unscheduled Teaching--All teaching activities that are not associated with specific courses (guest lecturing for another instructor, thesis advising, giving colloquia within the institution, etc.).

FACULTY ACTIVITY ANALYSIS (FAA) (Continued)

c. Academic Program Advising--Helping or advising students concerning what courses to take, course requirements for a particular program, scheduling the necessary courses, and program standards.

Personal and career guidance efforts are not included under academic program advising.

d. Course and Curriculum Research and Development--The time spent in planning future courses and designing future curricular requirements.

2. RESEARCH, SCHOLARSHIP, AND CREATIVE WORK ACTIVITIES

a. Specific Projects--All activities that involve the practice of a research, scholarship, or creative work-related skill (securing new grants, giving recitals, writing articles, etc.).

b. General Scholarship and Professional Development--The time spent in keeping current in a professional field (attending professional meetings, editing a journal or book, reading articles and books related to one's profession, etc.).

3. INTERNAL SERVICE ACTIVITIES

a. Student-Oriented Service--Time spent in general contact with, or service to, students (personal, career, and financial counseling of students, sponsoring student organizations, participating in student programs, etc.).

b. Administrative Duties--All administrative duties other than those directly related to courses or research (administering department subunits, keeping records, recruiting students, etc.).

c. Committee Participation--All committee activities related to academic affairs and institutional governance that have not been included elsewhere (collective bargaining committees, general department staff meetings, etc.).

4. PUBLIC SERVICE--Those activities that are directed principally outside the institution (consulting, giving professional advice, urban extension, etc.).

There may be other faculty activity classification schemes, but the above categories are suggested because of their comprehensiveness.

FACULTY ACTIVITY MODULE--See NCHEMS COSTING AND DATA MANAGEMENT SYSTEM.

FACULTY RANK TITLES--The institutionally designated official title or grade of a faculty member. The categories recommended for IEP are:

1. Professor
2. Associate Professor
3. Assistant Professor
4. Lecturer/Instructor
5. Teaching Assistant
6. All Others

FAMILY INCOME--The adjusted gross annual income (as defined by the Internal Revenue Code) for a student's parents as reported on financial aid applications and other student records.

FEES REQUIRED--See STUDENT FEES REQUIRED.

FELLOWSHIPS--See OBJECT OF EXPENDITURE and SCHOLARSHIPS AND FELLOWSHIPS.

FICE CODE--The unique number assigned to each institution by the Federal Interagency Committee on Education. The FICE code remains as the institutional identification number for the life of the institution. The primary utility of the FICE code is the precise identification of a particular institution of higher education.

FINAL COST OBJECTIVES--Those activity centers of the Program Classification Structure (PCS) whose outcomes are directly related to the accomplishment of the primary missions of the institution, (i.e., instruction, research, public service), or do not demonstrate a vital support function for other programs within the institution. Final cost objectives may or may not be eligible to receive costs from support activity centers.

FINANCIAL AID--The total dollars made available to students at an institution for financial assistance, either awarded by and/or administered through the institution, regardless of the source(s) of funds. The following categories are recommended for IEP:

1. GRANTS--All stipends, tuition, fee remissions, and gifts to students that are outright awards and are not contingent upon services to be rendered by the student. Includes all fellowships and scholarships to graduates or undergraduates. Also included are such grants as Basic Educational Opportunity Grants (BEOG), Supplementary Educational Opportunity Grants (SEOG), State Grants or Scholarships, Institutional Grants or Scholarships including Tuition and Fee Remissions, Private Grants or Scholarships, and Graduate Fellowships.

FINANCIAL AID (Continued)

2. LOANS--Funds made available to students for assistance on a loan basis. The sources of these funds may be gifts, endowment income, other institutional funds, private sources, and appropriations of governmental agencies. National Defense Student Loans would be included here. Excluded are short-term loans (usually three months) available to all students regardless of need.

3. WORK/STUDY ASSISTANCE--The extension of financial aid support to students through the College Work/Study program in which federal or state government contributes partial monies for the payment of services rendered by students and required for financial assistance.

FINANCIAL AID APPLICANT--An enrolled student who has applied for financial aid.

FINANCIAL AID RECIPIENT--An enrolled student who has received one or more forms of financial aid.

FIRST PROFESSIONAL--See STUDENT LEVEL.

FIRST PROFESSIONAL DEGREE--See DEGREE/DIPLOMA/CERTIFICATE.

FISCAL REFERENCE--Those portions of the FAA form (the fiscal reference block and the fiscal reference column) that allow linking the institution's budgetary accounts to specific faculty activities.

FISCAL YEAR--The institutionally defined consecutive twelve-month period for which information on financial and other types of transactions is available.

FRINGE BENEFITS--See DIRECT COSTS--COMPENSATION

FULL COSTS--The sum of direct costs, capital costs, and allocated support costs for an activity center or group of activity centers.

FULL-TIME PERSONNEL--Those individuals available for full-time assignment for the period being reviewed or analyzed or those who are designated as "full-time" in an official contract, appointment, or agreement. Normally, those employees who work approximately 40 hours per week for the period being analyzed are considered full-time employees. Individuals on sabbatical leave should be included as full-time if that was the status of their employment prior to sabbatical.

FULL-TIME STUDENTS--Those students, regardless of level or program, registered for at least 75 percent of a normal load required to complete a student program or course of study within the normal time.

FUND GROUP CATEGORIES--Standard categories that describe the various funds used by postsecondary education institutions for accounting purposes. The following categories are recommended for financial reporting:

1. CURRENT FUNDS--Resources used, or available for use, in carrying out the institution's day-to-day operations (analogous to the checking account of the institution). It does not include resources that are available for current purposes but designated by the governing board for other funds groups.

2. LOAN FUNDS--Resources that have been loaned and those still available to be loaned, to students, faculty, and staff.

   The only unrestricted funds that would be accounted for in this funds group would be those funds designated for loan purposes by the governing board. All other resources in this fund group are restricted funds.

3. ENDOWMENT AND SIMILAR FUNDS--Funds the institution invests in order to produce income that can be used to support operations. The following subcategories are recommended:

   a. Endowment Funds--Funds for which donors or other outside agencies have stipulated, as a condition in the gift instrument, that the principal always be maintained inviolate. Only the income derived from investments may be used for restricted or unrestricted purposes. Maintaining the principal intact is mandatory for monies of this subcategory.

   b. Term Endowment Funds--Funds similar to endowment funds except that after a stated period of time or a particular event all or a part of the principal may be expended. The expenditure may be for general purposes or for a restricted purpose, if a restriction was stipulated by the donor.

   c. Quasi-Endowment Funds--Unrestricted funds (functioning as endowment) that the governing board of the institution (rather than a donor or other outside agency) has determined are to be retained and treated as endowment funds. Since these are internally designated funds rather than externally restricted funds, the governing board may decide at any time to expend the principal of these funds or to redesignate them for some purpose other than endowment.

4. ANNUITY AND LIFE INCOME FUNDS--Funds the institution acquires subject to agreements requiring that payments be made for a certain period of time to one or more beneficiaries as stipulated by the donor.

   Annuity funds and life income funds are maintained and accounted for as two separate funds, but they are usually combined into the annuity and life income funds group for reporting purposes. If the institution is obligated to pay a stipulated amount, the fund is classified as an annuity fund. If the institution binds itself to pay to the beneficiaries only the income earned by the assets of the fund, it is classified as a life income fund. Upon the death of the beneficiary or at a specified time, the principal of the annuity or life income fund becomes the property of the institution, to be used in accordance with the terms of agreement. All funds in this group are restricted.

FUND GROUP CATEGORIES (Continued)

5. PLANT FUNDS--The current dollar value of all of the institution's physical plant assets, plus all monies which the institution intends to use to support plant operations. Fund accounting handles the institution's physical plant assets in a separate fund group rather than reporting them as fixed assets of any one fund group.

   The monies used for plant operations are classified in four subcategories:

   a. Unexpended Plant Funds--Funds available for the acquisition of physical properties but unexpended at the date of reporting.

   b. Funds for Renewals and Replacements-- Funds set aside for renewal and replacement of institutional properties. This would not include funds to be used for ordinary maintenance and repair of institutional properties--such monies would be included in the current funds group. Funds for renewal and replacement represent a form of funding in lieu of depreciation.

   c. Funds for Retirement of Indebtedness--Funds set aside for debt service charges and for the retirement of indebtedness on institutional properties.

   d. Investment in Plant--This subcategory is used to report the value of the institution's physical plant facilities. On the balance sheet the liabilities in this subcategory show how much has been expended for plant facilities as well as the amount of outstanding debt on physical plant.

6. AGENCY FUNDS--Funds not owned by the institution but for which it acts as fiscal agent.

   Usually the institution is providing accounting services to the organization or person(s) to which the monies belong. All funds held by the institution as custodian or fiscal agent for others, such as student organizations, individual students, or faculty members are reported in this funds group. Whenever the purpose of a particular report or financial statement is to disclose the total resources available for use by the institution, agency funds are excluded or only footnoted.

Certain categories of assets, liabilities, and fund balances will appear on the fund accounting balance sheet within each of the fund groups.

GENERAL LEDGER--A ledger containing accounts in which all transactions of an institution are classified in detail or in summary form.

GENERAL USE FACILITIES--See ROOM USE CATEGORIES.

GEOGRAPHIC ORIGIN AT FIRST ATTENDANCE--The legal residence, including home address, of a student at the time of original admission to the institution. The following categories are recommended for IEP:

1. IN-DISTRICT STUDENT--A student who is legally domiciled within the district of the institution he/she is attending.

2. IN-STATE STUDENT--A student who attends a postsecondary education institution in the state in which he/she is legally domiciled. If the institution also tabulates in-district student data, care should be exercised to avoid double-counting.

3. OUT-OF-STATE STUDENT--A student who attends a postsecondary education institution outside of the state in which he/she is legally domiciled. Foreign students are included in this category.

Geographic origin data may be useful in analyzing interstate and intrastate student migrations.

GOVERNMENT APPROPRIATIONS--See CURRENT FUNDS REVENUES CATEGORIES.

GOVERNMENT GRANTS AND CONTRACTS--See CURRENT FUNDS REVENUES CATEGORIES.

GRADUATE I--See STUDENT LEVEL.

GRADUATE II--See STUDENT LEVEL.

GRADUATE COURSE--See COURSE LEVEL.

GRADUATE STUDENT--See STUDENT LEVEL (GRADUATE I, GRADUATE II, FIRST PROFESSIONAL STUDENT LEVEL).

GRANTS--See FINANCIAL AID.

GROSS AREA--The sum of the floor areas of the building included within the outside faces of exterior walls for all stories, or areas that have floor surfaces. Gross area is measured in gross square feet (GSF), to the nearest thousand.

GROWTH AREAS--See STUDENT GROWTH AREAS.

HEADCOUNT STUDENT ENROLLMENT--An unduplicated count of the number of students enrolled in a specific term or session, fiscal year, or program without regard to the course load being carried.

HEALTH CARE FACILITIES--See ROOM USE CATEGORIES.

HEGIS TAXONOMY--See Taxonomy of Instructional Programs in Higher Education.

HIGHER EDUCATION FINANCE MANUAL (HEFM)--An NCHEMS project dealing with the definition and categorization of financial resources and asset measures necessary for planning, budgeting, and reporting, and with the development of procedures for using the measures.

HIGH SCHOOL RANK--The rank, in percentiles, of each student in his or her high school graduating class. The 99th percentile represents the highest rank in the class. The average rank is the arithmetic mean of all ranks reported.

HISPANIC--See CIVIL RIGHTS CATEGORY.

HOSPITAL EXPENDITURES--See CURRENT FUNDS EXPENDITURE CATEGORIES.

INDEPENDENT OPERATIONS EXPENDITURES--See CURRENT FUNDS EXPENDITURE CATEGORIES.

INDEPENDENT OPERATIONS REVENUES--See CURRENT FUNDS REVENUES CATEGORIES.

IN-DISTRICT STUDENTS--See GEOGRAPHIC ORIGIN AT FIRST ATTENDANCE.

INDIVIDUAL STUDY LABORATORY--See ROOM USE CATEGORIES.

INDUCED COURSE-LOAD MATRIX (ICLM)--A table defining the relationship between the instructional programs and the teaching disciplines or departments that provide instructional services for those programs. The ICLM displays the average number of credit hours taken at various course levels in each instructional discipline by the typical student in each program at each student level.

INFORMATION EXCHANGE PROCEDURES (IEP)--A set of standard definitions and procedures for collecting institutional information related to costs of disciplines and degree programs, outcomes of instructional programs, and general institutional characteristics.

IN GOOD STANDING--See STUDENT STATUS AT EXIT.

IN-STATE STUDENT--See GEOGRAPHIC ORIGIN AT FIRST ATTENDANCE.

INSTITUTIONAL HOUSING--Housing that is administered by and under the ultimate control of the institution. This category does not include housing on institutional property administered by private concerns, fraternal organizations, or other noninstitutional parties.

INSTITUTIONAL STRUCTURE--The type of structure that comprises the institution. The following conventional descriptors have been developed to describe common types of structures:

1. SINGLE CAMPUS INSTITUTION--A structure having only one campus.

2. MAIN CAMPUS PLUS BRANCH(ES) AND/OR EXTENSION CENTER(S)--A structure consisting of one parent campus plus any number of branch campuses and/or extension centers.

3. MULTICAMPUS SYSTEM--A structure consisting of several administratively equal campuses and often controlled by one central office.

4. OTHER INSTITUTIONAL STRUCTURE--An institutional structure not accounted for in the above distinctions. If this category is used, the structure should be briefly explained.

INSTRUCTION/RESEARCH PROFESSIONALS--See MANPOWER RESOURCE CATEGORIES.

INSTRUCTION/RESEARCH PROFESSIONALS COMPENSATION--See OBJECT OF EXPENDITURE.

INSTRUCTIONAL SERVICE MONTH--An instructional activity measure that represents one faculty member (or other staff member) engaged full-time in teaching (or other instructional activities) for a time period of one month. Data on instructional service months should be collected for all individuals assigned teaching responsibilities and for all terms included in the fiscal year.

INSTRUCTIONAL WORKLOAD MATRIX (IWLM)--A matrix indicating the total number of credit hours demanded by all students in each program at each student level from each of the instructional disciplines or departments at each course level.

JOINT ACCOUNTING GROUP (JAG)--Representatives of the National Association of College and University Business Officers (NACUBO), the American Institute of Certified Public Accountants (AICPA), and the National Center for Higher Education Management Systems (NCHEMS) who collaborated in order to provide uniform definitions of transactional finance data.

LAND--See CAPITAL ASSET.

LAND IMPROVEMENT--See CAPITAL ASSET.

LEVEL OF COURSE--See COURSE LEVEL.

LEVEL OF STUDENT--See STUDENT LEVEL.

LOAN FUNDS--See FUND GROUP CATEGORIES.

LOANS--See FUND GROUP CATEGORIES.

LOWER DIVISION COURSE--See COURSE LEVEL.

LOWER DIVISION STUDENT--See STUDENT LEVEL.

MAIN CAMPUS PLUS BRANCH(ES) AND/OR EXTENSION(S)--See INSTITUTIONAL STRUCTURE.

MAJOR FIELD OF STUDY--See STUDENT PROGRAM.

MANDATORY TRANSFERS--A tranfer made from one fund group into another fund group to fulfill binding legal obligations of the institution. The following subcategories are recommended for financial reporting:

1. DEBT SERVICE--Mandatory provisions made to satisfy debt obligations on academic buildings, auxiliary enterprise operations, and hospitals.

2. RENEWAL AND REPLACEMENT--Mandatory provisions made for the renovation of institutional plant.

3. LOAN FUND MATCHING GRANT--Mandatory transfer of institutional funds to loan funds as required in order to match outside gifts or grants, usually from the U.S. Government, for loan purposes.

4. OTHER--All mandatory transfers not included in any of the above categories.

MANPOWER RESOURCE CATEGORIES--Categories of employees who primarily perform similar kinds of activities. Each category of employee represents a different kind of manpower resource available to the institution. For management purposes, the following seven categories are recommended:

1.0 EXECUTIVE/ADMINISTRATIVE/MANAGERIAL PROFESSIONALS--Exempt employees employed for the primary purposes of managing the institution or a customarily recognized department or subdivision thereof. By convention, this category includes deans but most commonly, although not always, will exclude chairmen of academic departments (who usually are classified as Instruction/Research employees). Inclusion in this category requires the individual to have supervisory responsibilities.

2.0 INSTRUCTION/RESEARCH PROFESSIONALS--Individuals employed for the primary purposes of performing instruction and research activities. Typically includes only exempt employees. In most institutions of postsecondary education, these employees are the "faculty." Also includes research staff and research faculty. As a matter of convention, this category includes department chairmen but excludes deans.

MANPOWER RESOURCE CATEGORIES (Continued)

3.0 SPECIALIST/SUPPORT PROFESSIONALS--Exempt employees employed for the primary purposes of performing (typically) academic support, student service, and institutional support activities. Excludes individuals who have executive or managerial (supervisory) responsibilities in these areas. Includes such employees as librarians, accountants, systems analysts, student personnel workers, counselors, salesmen, recruiters, and so forth.

4.0 TECHNICAL EMPLOYEES--Individuals employed for the primary purpose of performing technical activities (that is, activities pertaining to the mechanical or industrial arts or the applied sciences). This category includes only nonexempt employees.

5.0 OFFICE/CLERICAL EMPLOYEES--Individuals employed for the primary purpose of performing clerical activities. This category includes only nonexempt employees.

6.0 CRAFTS/TRADES EMPLOYEES--Individuals employed for the primary purpose of performing (manually) skilled activities in a craft or trade. Includes employees such as carpenters, plumbers, electricians, and so forth. Includes only nonexempt employees.

7.0 SERVICE EMPLOYEES--Individuals employed for the primary purpose of performing service (often unskilled) activities. Includes such employees as custodians, groundskeepers, security guards, food service workers, and so forth. Includes only nonexempt employees.

MASTER'S DEGREE--See DEGREE/DIPLOMA/CERTIFICATE.

MULTICAMPUS SYSTEM--See INSTITUTIONAL STRUCTURE.

NCHEMS--National Center for Higher Education Management Systems at Western Interstate Commission for Higher Education.

NCHEMS COSTING AND DATA MANAGEMENT SYSTEM--A software system designed to assist the institution in the implementation of historical and predictive cost studies. The system is comprised of the following modules:

1. ACCOUNT CROSSOVER MODULE (ACM)--A module that processes the accounting information of the institution. It allows information from the institutional accounts to be converted to the IEP Activity Structure.

2. DATA MANAGEMENT MODULE (DMM)--A module that is a storage and manipulation mechanism for information obtained from the Account Crossover Module, Personnel Data Module, Faculty Activity Module, Student Data Module, and the Student Outcomes Module.

NCHEMS COSTING AND DATA MANAGEMENT SYSTEM (Continued)

3. FACULTY ACTIVITY MODULE (FAM)--A module that converts and aggregates the information obtained from the Faculty Activity and Outcomes Survey Instrument and forwards the information to the Personnel Data Module. For an explanation of the Survey Instrument, see Faculty Activity Analysis: Procedures Manual (Manning and Romney, 1973).

4. PERSONNEL DATA MODULE (PDM)--A module that processes personnel information to calculate crossover instructions used by the Account Crossover Module, by linking personnel to the accounts they are paid from and to the tasks they perform.

5. STUDENT DATA MODULE (SDM)--A module that processes student registration information into an ICLM or IWLM in order to determine program costs.

6. STUDENT OUTCOMES MODULE (SOM)--A module that converts and aggregates the information from the Student Outcomes Questionnaire for Program Completers and forwards the information to the Data Management Module. For an explanation of the Questionnaire, see Information Exchange Procedures Outcomes Study Procedures (Byers, 1975).

NEW STUDENT--See ENROLLMENT STATUS.

NONCAPITAL EQUIPMENT--See DIRECT COSTS--SUPPLIES AND SERVICES.

NONCLASSROOM LABORATORY--See ROOM USE CATEGORIES.

NONDEGREE/DIPLOMA/CERTIFICATE STUDENT--See STUDENT STATUS.

NONEXEMPT EMPLOYEE--An employee whose conditions of employment and compensation are subject to the provisions of the Fair Labor Standards Act of 1938, as amended. Eligible for overtime payment.

NONEXEMPT STAFF COMPENSATION--See OBJECT OF EXPENDITURE.

NONMANDATORY TRANFERS--A transfer made from one fund group into another at the discretion of the institution's governing board. The following subcategories are recommended for financial reporting:

1. DISTRIBUTION OF CAPITAL GAINS--That portion of the unrealized capital gains of the institution's investments used by the institution, usually for current operating purposes.

NONMANDATORY TRANSFERS (Continued)

2. DESIGNATION OF UNRESTRICTED FUNDS--Those unrestricted funds designated (and also transferred) to serve a specified purpose in another fund group.

   Although such designations usually involve unrestricted funds of the current funds, the designation of funds previously designated in an earlier period of something else may be changed, and the subsequent transfer recorded in this subcategory.

3. OTHER--All nonmandatory transfers not included in either of the above categories.

OBJECT OF EXPENDITURE--The classification of institutional expenditures according to the type of goods or services received in return for the expenditures. The following objects of expenditure are recommended for NCHEMS Information Exchange Procedures:

1. INSTRUCTION/RESEARCH PROFESSIONAL COMPENSATION--All compensation for Instruction/Research--see MANPOWER RESOURCE CATEGORIES 2.0 for definition of Instruction/Research Professionals. (See DIRECT COSTS for definition of COMPENSATION.)

2. ADMINISTRATIVE/SUPPORT PROFESSIONAL COMPENSATION--All compensation for Executive/Administrative Professionals and Specialist/Support Professionals--see MANPOWER RESOURCE CATEGORIES 1.0 and 3.0. (See DIRECT COSTS for definition of COMPENSATION.)

3. NONEXEMPT STAFF COMPENSATION--All compensation for Technical Employees, Office/Clerical Employees, Crafts and Trades Employees, and Service Employees--see MANPOWER RESOURCE CATEGORIES 4.0, 5.0, 6.0, and 7.0. (See DIRECT COSTS for definition of COMPENSATION.)

4. SUPPLIES AND SERVICES--See DIRECT COSTS.

5. RENTAL EXPENDITURES FOR EQUIPMENT--The annual rental or lease expenditures incurred by an institution for the use of capital equipment that is not institutionally owned.

6. RENTAL EXPENDITURES FOR BUILDINGS AND LAND IMPROVEMENTS--The annual rental or lease expenditures incurred for the use of buildings or land improvements made by an institution on land or buildings not owned.

7. CAPITAL EXPENDITURES FOR EQUIPMENT--The annual expenditures incurred for the purchase of capital equipment by an institution.

8. CAPITAL EXPENDITURES FOR BUILDINGS AND LAND IMPROVEMENTS--The annual expenditures incurred for the purchase of buildings and land improvements by an institution.

OBJECT OF EXPENDITURE (Continued)

9. SCHOLARSHIPS AND FELLOWSHIPS--The funds awarded by an institution to undergraduate students as grants-in-aid, trainee stipends, tuition and fee waivers, and prizes, and those funds awarded to graduate students as trainee stipends and grants-in-aid. Excluded from these categories are student loans, work/study expenditures, and funds for institutional services.

10. EXPENDITURES FOR ITEMS PURCHASED FOR RESALE--The expenditures incurred by an institution for all materials and supplies intended for resale.

OFFICE/CLERICAL EMPLOYEES--See MANPOWER RESOURCE CATEGORIES.

OFFICE FACILITIES--See ROOM USE CATEGORIES.

OUT-OF-STATE STUDENTS--See GEOGRAPHIC ORIGIN AT FIRST ATTENDANCE.

PART-TIME PERSONNEL--Those individuals available for less than full-time assignment for the period being reviewed or analyzed or those who are designated as "part-time" in an official contract, appointment, or agreement.

PART-TIME STUDENTS--Those students registered for less than 75 percent of a normal load required to complete a student program or course of study within the normal time.

PERSONNEL CATEGORIES--See MANPOWER RESOURCE CATEGORIES.

PERSONNEL DATA MODULE (PDM)--See NCHEMS COSTING AND DATA MANAGEMENT SYSTEM.

PLANT FUNDS--See FUND GROUP CATEGORIES.

PREDOMINANT CALENDAR SYSTEM--The method by which the institution structures most of its courses for the calendar year. The following systems are most typical:

1. QUARTER--The quarter calendar consists of three quarters with about twelve weeks for each quarter of instruction. There may be an additional quarter in the summer.

2. SEMESTER--The semester calendar consists of two semesters during the typical academic year with about sixteen weeks for each semester of instruction. There may be an additional summer session.

3. TRIMESTER--The trimester calendar is composed of three terms with about fifteen weeks for each term of instruction.

PREDOMINANT CALENDAR SYSTEM (Continued)

4. 4-1-4--The 4-1-4 calendar is composed of four courses taken for four months, one course taken for one month, and four courses taken for four months. There may be an additional summer session.

5. OTHER (SPECIFY)--Describe predominant calendar systems that are not defined by any of the above terms.

PRIVATE GIFTS, GRANTS, AND CONTRACTS--See CURRENT FUNDS REVENUES CATEGORIES.

PROGRAM--A set of activities that, operating collectively, achieve a well-defined objective or set of objectives of the organization within a specified time frame. These activities may be described in terms of the resources, technologies, and policies that, through their integrated operation, produce goods or services that are of value to the organization because they contribute to the achievement of the objective or set of objectives.

PROGRAM CLASSIFICATION STRUCTURE (PCS)--The NCHEMS Program Classification Structure (Gulko, 1972) defines a framework for identifying and organizing the activities of higher education institutions in a program-oriented manner, and provides a standard categorization of programs in higher education developed to be used as a standard format for developing institutional program budgets.

QUARTER SYSTEM--See PREDOMINANT CALENDAR SYSTEM.

READMITTED STUDENT--See ENROLLMENT STATUS.

RENTAL EXPENDITURES--See OBJECT OF EXPENDITURE.

RESEARCH FACULTY--See MANPOWER RESOURCE CATEGORIES.

RESIDENTIAL FACILITIES--See ROOM USE CATEGORIES.

RESOURCE REQUIREMENTS PREDICTION MODEL (RRPM)--RRPM is a generalized analytical model designed to estimate the resource requirements associated with operating an institution of higher education over a specific period of time.

RESTRICTED FUNDS--Includes only those monies expended during the reporting period for a purpose specified by the donor as a precondition for their receipt by the institution.

REVENUES--See CURRENT FUNDS REVENUES CATEGORIES.

ROOM USE CATEGORIES--Standard groups of institution areas described by primary use. These codes and definitions are those recommended in the Higher Education Facilities Inventory and Classification Manual (Romney, 1972). Standard categories that describe the use of particular assignable areas:

100 CLASSROOM--A room used by classes that do not require special-purpose equipment for student use.

210 CLASS LABORATORY--A room used primarily by regularly scheduled classes that require special-purpose equipment for student participation, experimentation, observation, or practice in a field of study.

220 SPECIAL CLASS LABORATORY--A room used primarily by informally (or irregularly) scheduled classes that require special-purpose equipment for student participation, experimentation, observation, or practice in a field of study.

230 INDIVIDUAL STUDY LABORATORY--A room used primarily for individual student experimentation, observation, or practice in a particular field of study.

250 NONCLASS LABORATORY--A room used for laboratory applications, research, and/or training in research methodology that require special-purpose equipment for staff and/or student experimentation or observation.

300 OFFICE FACILITY--A room used by faculty, staff, or students working at a desk (or table).

400 STUDY FACILITY--A room used by individuals: (a) to study books or audiovisual materials, (b) to provide shelving for library or audiovisual materials, (c) as a combination of reading room and stacks, (d) as a reading/study room, stack, or open-stack reading room as a supporting service to such rooms, or (e) to serve activities in reading/study rooms, stacks, open-stack reading rooms or processing rooms.

500 SPECIAL USE FACILITY--A room used: (a) as an armory, (b) an armory service, (c) for athletic/physical education activities, (d) for athletic facilities spectator seating, (e) for direct service to an athletic/physical education facility, (f) for audiovisual, radio, TV production, distribution, service, (g) for the diagnosis and/or treatment of patients in a program other than medicine, dentistry, and student health care, and room which supports these activities, (h) to practice the principles of certain disciplines such as teaching and home economics, (i) as demonstration facilities, and (j) as field buildings, such as agricultural, meteorological, shelters for animals, and greenhouses, etc.

600 GENERAL USE FACILITY--A room used as assembly, exhibition, food service area, lounge, merchandising, recreation, meeting, or locker room facilities, or room that directly serves such facilities.

700 SUPPORT FACILITY--A room used for data processing/computer, manufacture/repair/maintenance of products or equipment, storage (materials, vehicles), food processing or storage, or cleaning/washing/drying/ironing linens, etc., or room that directly serves such facilities.

ROOM USE CATEGORIES (Continued)

800 HEALTH CARE FACILITY--This category includes health care facilities for humans as well as animals; included are patient bedrooms and baths, nurses' stations, surgery and treatment rooms, rooms used for diagnostic support services, supplies storage area, and public waiting rooms.

900 RESIDENTIAL FACILITY--This category includes facilities that serve as student and faculty housing (e.g., sleeping rooms, apartments, houses). Excluded are rooms that serve residential activities such as office space and food facilities.

000 UNCLASSIFIED FACILITY--This category includes rooms not assigned, undergoing remodeling or alteration, or not completely finished in construction at the time of inventory.

SALARY--See DIRECT COSTS--COMPENSATION.

SALES AND SERVICES--See CURRENT FUNDS REVENUES CATEGORIES.

SAT SCORE--See TEST SCORES.

SCHOLARSHIPS AND FELLOWSHIPS--See OBJECT OF EXPENDITURE.

SEMESTER CREDIT (HOUR)--A unit of measure that represents one student engaged in an instructional activity for a semester for which one credit or fraction thereof is granted upon completion of the activity. The instructional activity may or may not provide credit toward a degree/diploma/certificate upon completion.

SEMESTER SYSTEM--See PREDOMINANT CALENDAR SYSTEM.

SERVICE EMPLOYEES--See MANPOWER RESOURCE CATEGORIES.

SERVICE MONTHS--Equivalent to one individual working full-time for the period of one month. Service months can be calculated by multiplying the percent workload (relative full-timeness) times the number of months of the individual's appointment (e.g., an individual employed half-time for 6 months would be the equivalent of three service months of manpower resources, and an individual employed full-time for nine months would be the equivalent of nine service months of resources). Service months include time worked regardless of pay period (e.g., 12 monthly checks for 10 "service months" of work).

SINGLE CAMPUS INSTITUTION--See INSTITUTIONAL STRUCTURE.

SOURCE OF FUNDS--See CURRENT FUNDS REVENUES CATEGORIES.

SPECIAL CLASSROOM LABORATORY--See ROOM USE CATEGORIES: 220-SPECIAL CLASS LABORATORY.

SPECIAL USE FACILITIES--See ROOM USE CATEGORIES.

SPECIALIST/SUPPORT PROFESSIONALS--See MANPOWER RESOURCE CATEGORIES.

STUDENT DATA MODULE (SDM)--See NCHEMS COSTING AND DATA MANAGEMENT SYSTEM.

STUDENT ENROLLMENT STATUS--See ENROLLMENT STATUS.

STUDENT FEES REQUIRED--Charges that are assessed to students for certain items not covered by tuition. Only required fees applicable to each student level are included; fees may include student activities, health services, student center, athletics, construction, etc., but should not include first-time admissions or application charges.

STUDENT GROWTH AREAS--Information on the student growth areas is taken from the responses to the Student Outcomes Questionnaire for Program Completers. The responses are in the form of self-assessment by an individual student in the following areas:

1. INTELLECTUAL GROWTH--Ability to understand and use concepts and principles from several broad areas of learning.

2. SOCIAL GROWTH--Understanding of other people and their views; experience in relating to others.

3. AESTHETIC AND CULTURAL GROWTH--Awareness and appreciation of the literature, music, art, and drama of your own culture and of others.

4. EDUCATIONAL GROWTH--Understanding of a particular field of knowledge; preparation for further education.

5. VOCATIONAL AND PROFESSIONAL GROWTH--Preparation for employment in a particular vocational or professional area.

6. PERSONAL GROWTH--Development of attitudes, values, beliefs, and a particular philosophy of life; understanding and acceptance of yourself as a person; ability to be realistic and adaptable and to make decisions about your own future.

STUDENT LEVEL--Refers to the total accredited work by a student and reflects his or her level of progress toward a degree, diploma, or certificate. These student levels are recommended for IEP:

1. LOWER DIVISION--Includes all students who are enrolled in programs leading to an associate degree (including three-year associate degree programs) or in undergraduate occupational or vocational programs of three years duration or less; and all other undergraduate students who have earned less than 50 percent of the number of academic credits normally required for a four-year bachelor's degree (typically classified as freshmen or sophomores).

2. UPPER DIVISION--Includes all undergraduate students who are not in associate degree or occupational-vocational programs and who have earned 50 percent or more of the academic credits normally required for a bachelor's degree (typically classified as juniors and seniors). Includes students in years three, four, and five of five-year bachelor's degree programs.

3. FIRST PROFESSIONAL--Includes all students who are pursuing any one of the following "first professional" degree programs: M.D.; D.O.; LL.B. or J.D. (if J.D. is the first professional degree); D.D.S.; D.V.M.; O.D.; B.D., M.Div. or Rabbi; Pod.D. or P.M. Students enrolled in undergraduate "preprofessional" curricula and students in the first two years (corresponding to the undergraduate freshmen and sophomore years) of integrated graduate professional degree programs should be classified as lower division, and not as graduate professional students.

4. GRADUATE I--Includes all students who hold a bachelor's degree or the equivalent (or a "first professional" degree) and (a) are pursuing a master's degree, or (b) are pursuing a doctoral degree, but have not earned a master's degree, or (c) are in a special, unclassified, visitor, or other status, or (d) are pursuing an Educational Specialist certificate, degree, or coordinate intermediate level degree program, whether or not they possess an earned master's degree.

5. GRADUATE II--Includes all students who are pursuing a doctoral (except first professional) degree program, except those who are classified as Graduate I by the definition provided above.

6. OTHER (SPECIFY)--Includes medical interns and residents as well as any students not otherwise defined.

STUDENT PROGRAM--The course of study followed by a student. In IEP, the HEGIS Taxonomy is used as the reference for naming and coding student programs. Also referred to as Student Major Program or Major Field of Study.

STUDENT OUTCOMES MODULE (SOM)--See NCHEMS COSTING AND DATA MANAGEMENT SYSTEM.

STUDENT STATUS--Refers to whether a degree/diploma/certificate is expected to be awarded as an outcome of a student's general or specific program(s), course(s) of study, and activity(ies). Two categories are recommended:

1. DEGREE/DIPLOMA/CERTIFICATE STUDENT--An individual who has been admitted to a general or specific course of study or program at the completion of which a degree/diploma/certificate is awarded by the institution. Students who have not yet declared a major (indicated the specific course of study they will follow) but have declared their intent to receive a degree/diploma/certificate should be included in this category. Students auditing a course normally would be included in this category, although their classification in the nondegree/diploma/certificate student category might be appropriate also.

2. NONDEGREE/DIPLOMA/CERTIFICATE STUDENT--An individual who has not been admitted to a general or specific program(s), course(s) of study, or activity(ies) in the institution at the completion of which a degree/diploma/certificate is awarded by the institution. These students may be enrolled in credit or noncredit courses. They should not be confused with students with undeclared majors admitted to degree/diploma/certificate programs and thereby classified as degree/diploma/certificate students. Students classified as visiting, provisional, special, etc., normally would be included in this category, although their classification in the degree/diploma/certificate student category might be appropriate also.

STUDENT STATUS AT EXIT

1. IN GOOD STANDING--The student left the institution voluntarily and is eligible for readmission.

2. ACADEMIC DROP OR SUSPENSION--The student was required to leave the institution for unsatisfactory academic performance.

3. OTHER DROP OR SUSPENSION--The student was required to leave the institution for some reason other than unsatisfactory academic performance (e.g., disciplinary suspension, failure to pay fees).

STUDY FACILITIES--See ROOM USE CATEGORIES.

SUPPLIES AND SERVICES--See DIRECT COSTS.

SUPPORT ACTIVITY CENTERS--Those activity centers the outcomes of which are necessary or vital for the successful operation of other programs within the institution, but do not contribute directly to the accomplishment of the primary missions of the institution.

SUPPORT FACILITIES--See ROOM USE CATEGORIES.

TECHNICAL EMPLOYEES--See MANPOWER RESOURCE CATEGORIES.

TENURE--The institutional designation that serves to identify the status of the employee with respect to permanence of appointed position. The following tenure designations indicate status of individuals:

1. TENURED--Individuals who have been granted tenure.

2. NONTENURED--Individuals who are eligible for, but have not been granted tenure.

3. NOT ELIGIBLE--Individuals who are not eligible for tenure.

TEST SCORES--The scores achieved by a student on the entrance tests given in the SAT Test by ETS (Educational Testing Service of Princeton, New Jersey) or in the ACT Test by ACT (American College Testing Program of Iowa City, Iowa). The Scholastic Aptitude Test (SAT) is composed of verbal and quantitative sections. The ACT Test is composed of mathematics, English, social sciences, and natural sciences sections.

TRANSFER STUDENT--See ENROLLMENT STATUS.

TRIMESTER SYSTEM--See PREDOMINANT CALENDAR SYSTEM.

TUITION AND FEES--See CURRENT FUNDS REVENUES CATEGORIES.

TUITION CHARGE-STUDENTS--The amount of money charged to students for instructional services; tuition may be charged on a per-term, per-course, or per-credit basis. For IEP purposes the tuition charge quoted should reflect tuition for a full-time student for an academic year.

UNCLASSIFIED FACILITIES--See ROOM USE CATEGORIES.

UNDERGRADUATE STUDENT--See STUDENT LEVEL.

UNIT COST--The cost per unit obtained by dividing total cost by total quantity.

UNIT DESCRIBED--The legal name and address of the unit being described. Unit described is a self-contained unit that can provide data on the following: revenue, enrollment, personnel, and costs across the Program Classification Structure (PCS) categories. Examples include: Berkeley Campus, South Campus, and Colorado Springs Center.

UNRESTRICTED FUNDS--Monies that may be used for any purpose deemed necessary by the institution s management. This category would include all designated funds (unrestricted funds that may be used only for those purposes designated by the institution's governing board).

UPPER DIVISION COURSE--See COURSE LEVEL.

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UPPER DIVISION STUDENT--See STUDENT LEVEL

WHITE, OTHER THAN HISPANIC--See CIVIL RIGHTS CATEGORY.

WORK/STUDY ASSISTANCE--See FINANCIAL AID.

Advisory Structure for the
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